

**DoD 4120.24-M**

**Defense Standardization Program  
(DSP)**

**Policies and Procedures**



**March 2000**

**Office of the Under Secretary of Defense  
(Acquisition, Technology, and Logistics)**

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FOREWORD

This Manual is reissued under the authority of DoD Instruction 4120.24, "Defense Standardization Program (DSP)," June 18, 1998. It prescribes the policies and procedures for implementing the DSP as required by 10 U.S.C. 2451-2457. DoD 4120.3-M, "Defense Standardization Program Policies and Procedures," July 1993, is hereby canceled.

This Manual applies to the Office of the Secretary of Defense (OSD), the Military Departments, and the Defense Agencies (hereafter referred to collectively as "the DoD Components"). This Manual is effective immediately and is mandatory for use by all the DoD Components. It is designed for direct use at the standardization operating levels without supplementary instructions.

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David Oliver  
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## REFERENCES

- (a) Sections 2451-2457 of title 10 United States Code
- (b) DoD Instruction 4120.24, "Defense Standardization Program," June 18, 1998
- (c) DoD Directive 5000.1, "Defense Acquisition," March 15, 1996
- (d) DoD 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPS) and Major Automated Information System (MAIS) Acquisition Programs," March 1998, authorized by DoD Directive 5000.1, March 15, 1996
- (e) Joint Chiefs of Staff Publication "Joint Vision 2010," undated
- (f) SD-1, "Standardization Directory," current edition
- (g) DoD 8910.1-M, "DoD Procedures for Management of Information Requirements," June 1998, authorized by DoD Directive 8910.1, June 1993
- (h) Section 7 of Executive Order 12344, February 1, 1982
- (i) DoD Joint Technical Architecture, current edition
- (j) Federal Acquisition Regulation, current edition
- (k) SD-15, "Performance Specification Guide," June 29, 1995
- (l) Federal Standardization Manual, 1994
- (m) SD-4, "Status of Standardization Projects," current edition
- (n) MIL-STD-961D, "DoD Standard Practice for Defense Specifications," March 22, 1995
- (o) MIL-STD-962C, "DoD Standard Practice for Defense Standards and Handbooks," October 20, 1995
- (p) DoD 5010.12-L, "Acquisition Management System and Data Requirements Control List," current edition, authorized by DoD 5010.12-M, May 1993
- (q) MIL-STD-963B, "Data Item Descriptions (DIDs)," August 31, 1997
- (r) DoD 5200.1-R, "Information Security Program," January 1997, authorized by DoD Directive 5200.1, December 13, 1996
- (s) DoD 5220.22-R, Industrial Security Regulation, December 1985, authorized by DoD Directive 5220.22, December 8, 1980
- (t) Department of Defense Index of Specifications and Standards, current edition
- (u) Section 2319 of title 10, United States Code
- (v) SD-6, "Provisions Governing Qualification," August 1999
- (w) Section 552 of title 5, United States Code
- (x) NATO STANAG 4093, "Mutual Acceptance by NATO Member Countries of Qualification of Electronic and Electrical Components for Military Use," Edition No. 4, January 22, 1993
- (y) Section 12(d) of Public Law 104-113
- (z) OMB Circular A-119, "Federal Participation in the Development and Use of Voluntary Standards and in Conformity Assessment Activities," February 10, 1998
- (aa) SD-9, "DoD Interaction With Nongovernment Standards Bodies," April 1984
- (bb) DoD Directive 5500.7, "Standards of Conduct," August 30, 1993
- (cc) SD-2, "Buying Commercial & Nondevelopmental Items: A Handbook," April 1996
- (dd) SD-5, "Market Research," July 1997
- (ee) Construction Specification Institute MP2.2, "Construction Specifications, Three-Part Section Format for," October 6, 1988
- (ff) DoD 4130.2-M, "Federal Catalog System Policy Manual," March 1975, authorized by DoD Directive 4130.2, March 9, 1981

REFERENCES, continued

- (gg) DoD 4100.39-M, Volumes 1-18, "Federal Logistics Information System (FLIS) Procedures Manual," Dates Vary Per Volume
- (hh) AFMCI 20-101, AMC-R 700-30, NAVSUP 4410.57, MCO 4410.24A, and DLAR 4140.66 "Elimination of Duplication in the Management and Logistics Support of Interchangeable and Substitutable Items," August 30, 1984
- (ii) DoD 4140.26-M, "Defense Integrated Materiel Management Manual for Consumable Items," May 1997, authorized by DoD Directive 4140.1, January 4, 1993

ABBREVIATIONS AND ACRONYMS

ACAT	Acquisition Category
AMSC	Acquisition Management System Control
ASCC	Air Standardization Coordinating Committee
ASD(C3I)	Assistant Secretary of Defense (Command, Control, Communication and Intelligence)
ASSIST	Acquisition Streamlining and Standardization Information System
CAGE	Commercial and Government Entity
CID	Commercial Item Description
CIRL	Completed Item Reduction Listing
CNAD	Conference of National Armament Directors
DepSO	Departmental Standardization Office
DID	Data Item Description
DLA	Defense Logistics Agency
DLIS	Defense Logistics Information Service
DMA	Document Management Activity
DoD	Department of Defense
DoDISS	DoD Index of Specifications and Standards
DoDSSP	DoD Single Stock Point
DSP	Defense Standardization Program
DSPO	Defense Standardization Program Office
DTRA	Defense Threat Reduction Agency
FAR	Federal Acquisition Regulation
FII	Federal Item Identification
FIIG	Federal Item Identification Guide
FIPS	Federal Information Processing Standards
FLIS	Federal Logistics Information System
FSC	Federal Supply Class
FSG	Federal Supply Group
GIDEP	Government Industry Data Exchange Program
GSA	General Services Administration
ICP	Inventory Control Point
IEC	International Electrotechnical Committee
IRA	Item Reduction Activity
ISA	International Standardization Agreement
ISC	Item Standardization Code
ISO	International Organization for Standardization
JTA	Joint Technical Architecture
LSA	Lead Standardization Activity
MAS	Military Agency for Standardization
MCA	Military Coordinating Activity
MDAP	Major Defense Acquisition Program
MOE	Major Organizational Entity
NATO	North Atlantic Treaty Organization
NDI	Nondevelopmental Item



ABBREVIATIONS AND ACRONYMS, continued

NGS	Non-Government Standard
NGSB	Non-Government Standards Body
NIIN	National Item Identification Number
NQA	National Qualification Authority
NSA	National Security Agency
NSN	National Stock Number
OPR	Office of Primary Responsibility
ORD	Operational Requirements Document
PICA	Primary Inventory Control Activity
QML	Qualified Manufacturers List
QPL	Qualified Products List
SMA	Standardization Management Activity
STANAG	NATO Standardization Agreement
TIR	Total Item Record
TMSS	Technical Manual Specifications and Standards
U.S.C.	United States Code
USD(AT&L)	Under Secretary of Defense (Acquisition, Technology, and Logistics)

## C1. CHAPTER 1

### GENERAL INFORMATION

#### C1.1. PURPOSE

This Manual establishes the policies and procedures to achieve the standardization objectives required by 10 U.S.C. 2451-2457, DoD Instruction 4120.24, DoD Directive 5000.1, and DoD 5000.2-R (references (a) through (d)).

#### C1.2. "CATALOGING AND STANDARDIZATION ACT"

The Defense Standardization Program (DSP) is conducted under the statutory provisions of reference (a), which requires the Secretary of Defense to maintain a unified defense standardization program for:

- C1.2.1. Standardizing on like products and technologies;
- C1.2.2. Using a common set of specifications and standards;
- C1.2.3. Cooperating with industry in the development of standards;
- C1.2.4. Assigning standardization responsibilities in the Department of Defense (DoD);
- C1.2.5. Resolving disputes between the Military Departments and Defense Agencies; and
- C1.2.6. Making final decisions in all DSP-related matters.

#### C1.3. STANDARDIZATION IN SUPPORT OF THE WARFIGHTER

Standardization is an enabling strategy, which through the auspices of the DSP, can help program offices and buying activities achieve the goals of Joint Vision 2010 (reference (e)) to provide the warfighter with equipment that is interoperable, reliable, and technologically superior. Standardization is at the heart of Joint Vision 2010, which is the guiding template for future direction in warfare in the DoD. The following are key Joint Vision 2010 doctrines that require standardization to be successful:

C1.3.1. Interoperability with multinational partners and among the Military Departments requires standardization of physical, electronic, and functional interfaces and performance requirements.

C1.3.2. Information superiority demands standardized data and equipment interfaces and performance requirements to permit information to be shared among systems and personnel.

C1.3.3. Rapid new technology insertion requires standard interfaces and performance requirements. Since the DoD must retain existing systems for decades beyond their planned life, affordable technology refreshments will depend in part on our ability to define standard solutions across systems based on performance and interface requirements.

#### C1.4. DSP GOALS

The goals of the DSP are to:

C1.4.1. Improve military operational readiness by:

C1.4.1.1. Achieving interoperability of systems, subsystems, and equipment with our allies and among the Military Departments.

C1.4.1.2. Improving logistics support by reducing the variety of supply items.

C1.4.1.3. Improving the reliability, maintainability, and safety of systems and supply items.

C1.4.1.4. Modernizing existing systems, subsystems, and equipment through insertion of new technology and parts.

C1.4.2. Reduce total ownership costs by:

C1.4.2.1. Reducing the number of nonstandard parts.

C1.4.2.2. Facilitating competition.

C1.4.2.3. Promoting the use of common processes and open systems.

C1.4.2.4. Promoting standard commercial processes and practices.

C1.4.2.5. Reducing training costs.

C1.4.2.6. Optimizing systems engineering requirements by reaching consensus on requirements.

C1.4.3. Reduce cycle time by:

C1.4.3.1. Using readily available standard items.

C1.4.3.2. Identifying interchangeability and interoperability requirements to permit rapid introduction of new technologies.

#### C1.5. DSP PROCESS

The DSP process is an important element of the overall defense system and materiel management process. It uses numerous tools, including the systems engineering process, to identify those technical parameters necessary for acquisition, support, and use of defense systems and materiel throughout the entire product life cycle. Specific procedures for the DSP process are defined in this Manual.

#### C1.6. DSP PRODUCTS

The products from the DSP are those decisions reached in terms of the technical parameters established for systems, subsystems, items, and related materiel required by the Military Departments and Defense Agencies. These decisions are captured in the various forms of standardization documents described in this Manual.

C2. CHAPTER 2ORGANIZATION OF THE DEFENSE STANDARDIZATION PROGRAM (DSP)C2.1. GENERAL

The Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)) is responsible for DSP policies. DoD Instruction 4120.24 (reference (b)) designates the Director of the Defense Logistics Agency (DLA) as the DoD Executive Agent for the DSP. The Director of DLA assigned the execution of DSP Executive Agent responsibilities to the DoD Standardization Executive and the Defense Standardization Program Office (DSPO). DSPO provides centralized management of the DSP through the issuance of DoD-wide policies, procedure, guidance, and oversight. The execution of the program is assigned to the DoD Components listed in the SD-1 (reference (f)), which are collectively referred to as Standardization Management Activities (SMAs). Figure C2-F1., below, depicts the management structure of the DSP.

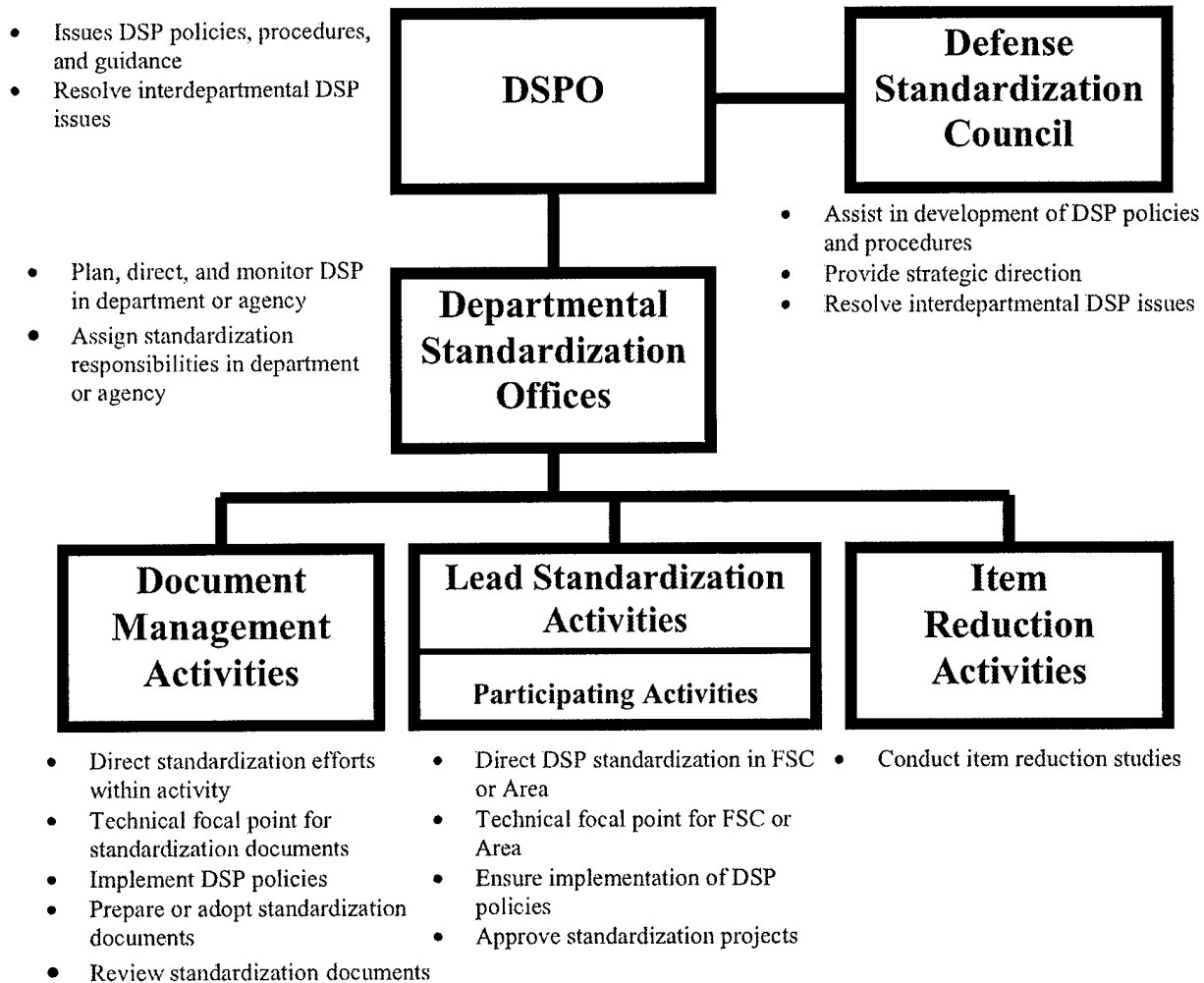


Figure C2-F1. DSP Management Structure

## C2.2. RESPONSIBILITIES AND ASSIGNMENTS

C2.2.1. The DoD Standardization Executive shall:

C2.2.1.1. Have authority over all functions of the DSP.

C2.2.1.2. Chair the Defense Standardization Council.

C2.2.1.3. Act as the Standardization Executive for the DoD Components without a designated Standardization Executive.

C2.2.1.4. Represent the DoD on the Interagency Committee on Standards Policy.

C2.2.2. The Standardization Executives shall:

C2.2.2.1. Serve on the Defense Standardization Council.

C2.2.2.2. Assist in the development of DSP policies and procedures.

C2.2.2.3. Approve or disapprove new or reinstated defense standards.

C2.2.3. The Defense Standardization Council shall:

C2.2.3.1. Direct the implementation of business process improvement initiatives that relate to specifications and standards.

C2.2.3.2. Develop policies to improve acquisition through the use of standardization, commercial and nondevelopmental items, acquisition streamlining, and other related functions.

C2.2.3.3. Identify goals and resources necessary to accomplish those goals.

C2.2.3.4. Influence resource commitment decisions to implement the DSP.

C2.2.3.5. Support the development and use of interoperability standards for national and international use.

C2.2.3.6. Resolve issues that cannot be resolved at a lower level.

C2.2.3.7. Establish ad hoc working groups, as required, to conduct studies or recommend solutions to problems.

C2.2.4. The DSPO shall:

C2.2.4.1. Manage the formulation, issuance, and implementation of the DSP policies, procedures, and guidance.

C2.2.4.2. Prepare, maintain, and disseminate documents covering DSP policies, procedures, and guidance.

C2.2.4.3. Establish, consolidate, or disestablish standardization areas.

C2.2.4.4. Assign Lead Standardization Activity (LSA) responsibilities to the Military Departments and the Defense Agencies.

C2.2.4.5. Resolve interdepartmental standardization issues.

C2.2.4.6. Interface with non-Government standards bodies (NGSBs) on standardization policy issues.

C2.2.4.7. Provide interface with defense treaty organizations on materiel standardization policy.

C2.2.4.8. Serve as the U.S. National Coordinating Activity in the North Atlantic Treaty Organization (NATO).

C2.2.4.9. Serve as the U.S. National Qualification Authority (NQA) in the NATO.

C2.2.4.10. Establish procedures for the printing, distribution, and indexing of standardization documents by the DoD Single Stock Point (DoDSSP).

C2.2.4.11. Serve as the DoD proponent for standardization training courses.

C2.2.5. The Departmental Standardization Offices (DepSOs) shall:

C2.2.5.1. Plan, direct, advocate, and monitor the DSP in their Department or Agency.

C2.2.5.2. Ensure implementation of DSP policies and procedures in their Department or Agency.

C2.2.5.3. Assign standardization responsibilities in their Department or Agency.

C2.2.5.4. Designate the LSAs, Participating Activities, Document Management Activities (DMAs), and Item Reduction Activities (IRAs) with their Department or Agency and ensure that they properly implement the policies, procedures, and goals of the DSP.

C2.2.5.5. Provide Department or Agency positions on DSP policies, procedures, and guidance.

C2.2.5.6. Submit standardization issues that require higher DoD-wide consideration to the Defense Standardization Council.

C2.2.5.7. Implement decisions of the Defense Standardization Council.

C2.2.5.8. Resolve standardization issues in their own Department or Agency and work with the other DepSOs and the DSPO to resolve inter-Departmental standardization issues.

C2.2.5.9. Approve or disapprove requests for the inclusion of qualification requirements in new specifications or addition of qualification in existing specifications.

C2.2.5.10. Serve as their Department or Agency proponent for DoD standardization training courses.

C2.2.6. The LSAs, in an assigned Federal Supply Group (FSG), Federal Supply Class (FSC), or standardization area, shall:

C2.2.6.1. Working with the Participating Activities, manage and coordinate standardization efforts to ensure the optimal degree of standardization across the DoD to:

C2.2.6.1.1. Ensure interoperability with our allies and among the Military Departments.

C2.2.6.1.2. Reduce total ownership costs.

C2.2.6.1.3. Allow for rapid insertion of new technology to promote modernization of equipment.

C2.2.6.1.4. Reduce cycle time for the development of systems and acquisition of parts.

C2.2.6.2. Maintain awareness of standardization needs and activities in the DoD.

C2.2.6.3. Serve as the DoD-wide technical focal point.

C2.2.6.4. Evaluate and approve or disapprove requests for standardization projects, assign numbers for approved projects, and ensure that no standardization documents are developed or revised that do not comply with the policies and procedures of the DSP.

C2.2.6.5. Suggest alternative approaches to requestors when standardization projects are disapproved.

C2.2.6.6. Recommend changes to standardization policies and procedures to their DepSO.



C2.2.6.7. Resolve standardization problems between SMAs, or elevate the problem to their DepSO for appropriate action.

C2.2.6.8. Identify chronic standardization problems or noncompliance with policies and procedures to their DepSO.

C2.2.6.9. Help Preparing Activities identify standardization document Custodians.

C2.2.6.10. Help NGSBs to identify DoD personnel to serve on technical committees or adopting activities.

C2.2.7. The Participating Activities, in an assigned FSG, FSC, or standardization area, shall:

C2.2.7.1. Work with the LSA to manage and coordinate standardization efforts to ensure the optimal degree of standardization across the DoD.

C2.2.7.2. Serve as their Department- or Agency-wide technical focal point.

C2.2.8. The DMAs shall manage and coordinate standardization efforts to ensure the optimal degree of standardization in their activity. To carry out this function, DMAs shall perform the duties associated with one or more of the associated subfunctions listed below:

C2.2.8.1. The Preparing Activities shall:

C2.2.8.1.1. Develop, update, inactivate for new design, cancel, and validate standardization documents.

C2.2.8.1.2. Coordinate standardization documents with Custodian, Review Activities, other DoD activities, civilian agencies, and industry, as appropriate.

C2.2.8.1.3. Consider all comments and incorporate or resolve essential comments.

C2.2.8.1.4. Submit any essential comments that cannot be resolved to the responsible LSA.

C2.2.8.1.5. Approve standardization documents after resolving all essential comments.

C2.2.8.1.6. Submit documents to the DoDSSP for printing, distribution, and indexing.

C2.2.8.1.7. Prepare and submit standardization project status data, including initiation, updates, completion, and discontinuation of standardization projects. This reporting requirement has been assigned Report Control Symbol DD-A&T(AR)759 in accordance with DoD 8910.1-M (reference (g)).

C2.2.8.1.8. Respond to user feedback.

C2.2.8.1.9. Create, maintain, and archive official case files for their standardization documents.

C2.2.8.2. The Adopting Activities shall:

C2.2.8.2.1. Participate on non-Government standards (NGS) committees to develop standards that will meet DoD acquisition and engineering design needs.

C2.2.8.2.2. Coordinate draft NGSs within the DoD.

C2.2.8.2.3. Evaluate DoD comments and submit acceptable and consolidated DoD comments to the NGS committees.

C2.2.8.2.4. Adopt NGSs that meet DoD needs.

C2.2.8.2.5. Serve as the DoD technical focal point for adopted NGSs and report any problems with the adopted standard to the NGS technical committee.

C2.2.8.2.6. Prepare and submit adoption notices to the DoDSSP.

C2.2.8.3. The Military Coordinating Activities (MCAs) shall:

C2.2.8.3.1. Coordinate Federal specifications, standards, or Commercial Item Descriptions (CIDs) prepared by civilian Agencies among interested SMAs and submit consolidated DoD comments back to the appropriate civilian agency.

C2.2.8.3.2. Work with the cognizant civilian agency to resolve essential DoD comments on Federal documents.

C2.2.8.3.3. Ensure that the cognizant civilian Preparing Activity submits a copy of the approved standardization document to the DoDSSP for printing, distribution, and indexing.

C2.2.8.3.4. Serve as the DoD technical focal point and report any problems with a Federal standardization document back to the cognizant civilian Preparing Activity.

C2.2.8.4. The Custodians shall:

C2.2.8.4.1. Represent their Military Department or Defense Agency on technical issues involving a standardization document or study.

C2.2.8.4.2. Assist the Preparing Activity in identifying Review Activities in their Military Department or Defense Agency.

C2.2.8.4.3. Resolve and consolidate Review Activity comments in their Military Department or Defense Agency and present a unified position on a standardization document to the Preparing Activity.

C2.2.8.4.4. Work with the Preparing Activity to resolve their Military Department or Defense Agency's essential comments.

C2.2.8.5. The Review Activities shall provide technical review of standardization documents and submit comments to their Military Department or Defense Agency Custodian.

C2.2.8.6. The Qualifying Activities shall approve products for listing on qualified products lists or manufacturing processes for listing on qualified manufacturers lists.

C2.2.9. The IRAs shall:

C2.2.9.1. Determine the cost benefit of conducting an item reduction study.

C2.2.9.2. Develop item reduction studies.

C2.2.9.3. Coordinate item reduction studies with the Custodians, using activities, and the General Services Administration (GSA).

C2.2.9.4. Resolve comments.

C2.2.9.5. Approve item reduction studies after resolving comments.

C2.2.9.6. Print and distribute approved item reduction studies.

C2.2.9.7. Submit item standardization code changes to the Defense Logistics Information Service.

C2.2.10. The DoDSSP shall print, distribute, and index standardization documents, and maintain an automated standardization information system.

C2.2.11. The Director, Naval Nuclear Propulsion shall have authority over all aspects of specifications and standards under the cognizance of the Naval Nuclear Propulsion Program in accordance with Executive Order 12344 (reference (h)).

### C3. CHAPTER 3

#### STANDARDIZATION IN THE ACQUISITION PROCESS

##### C3.1. GENERAL

The program manager must balance the decision to standardize against specific mission requirements, technology growth, and cost effectiveness. Under the DoD's performance based acquisition policies, it is primarily the contractor's responsibility to recommend the use of standard materials, parts, components, and other items needed to meet performance requirements and satisfy other program elements, such as parts management and logistics support. However, interoperability, compatibility, and integration are key standardization goals that must be satisfactorily addressed for all acquisitions. These goals shall be specified and validated during the requirements generation process and throughout the acquisition life cycle. This Chapter provides policies on when to standardize, how to document standardization decisions, and tailoring of standardization requirements.

##### C3.2. MANDATORY STANDARDIZATION CONSIDERATIONS

C3.2.1. Operational Requirements Document (ORD). As required by DoD 5000.2-R (reference (d)), the Military Departments shall identify standardization requirements in the ORD necessary to ensure compatibility and interoperability with other Service and allied systems.

C3.2.2. DoD Joint Technical Architecture (JTA) (reference (i)). As required by DoD 5000.2-R (reference (d)), program offices shall use the DoD JTA for all new and upgraded systems, as applicable. The Component Acquisition Executive may grant waivers to the standards in the JTA with the concurrence of the USD(AT&L) and the ASD(C3I).

C3.2.3. Open Systems. As required by DoD 5000.2-R (reference (d)), program offices shall apply open system principles to standardize on physical and functional interfaces.

C3.2.4. Parts Management. Program offices shall ensure that a parts management process is used to reduce the proliferation of parts and associated documentation and promote the use of parts with acceptable performance, quality, and reliability.

##### C3.3. STANDARDIZATION CONSIDERATIONS FOR PROGRAM OFFICES

The following provides guidance on the types of issues and questions that program offices need to address when deciding where, when, how, and to what level to standardize. If the answer is "yes" to any of these questions, then consideration shall be given to standardizing the system, subsystem, assembly, subassembly, equipment, or components, as appropriate. These issues and questions are primarily intended to relate to new system design and upgrades.

C3.3.1. Does a U.S.-ratified international standardization agreement (ISA), such as a North Atlantic Treaty Organization Standardization Agreement (NATO STANAG), exist that is

applicable? If so, the applicable ISA or U.S. implementing document should be identified early in the design process to ensure interoperability with allied systems and equipment.

C3.3.2. Must the system or subsystem interoperate with other systems, subsystems, or equipment?

C3.3.3. Must form, fit, function, or interface be defined to permit interoperability or connectivity between discrete items?

C3.3.4. Is uniform configuration necessary for ease of operation or safety?

C3.3.5. Is design control necessary because predictable performance is an essential requirement?

C3.3.6. Do organic logistics support considerations demand that form, fit, function, or interface be identical to replace or substitute for an equivalent item (interchangeability)?

C3.3.7. Are there military-unique environmental requirements (such as radiation hardness, vibration, or shock) that will affect many different systems and would there be a benefit to having a standard methodology, measurement, or solution?

C3.3.8. Would commonality improve training for operation, maintenance, or repair?

C3.3.9. Would research and development costs, engineering time, or procurement time be reduced?

#### C3.4. STANDARDIZATION CONSIDERATIONS FOR BUYING COMMANDS

The following provides guidance on the types of issues and questions that buying commands need to address when deciding where, when, how and to what level to standardize. If the answer is "yes" to any of these questions, then consideration shall be given to standardizing the item. These issues and questions are primarily intended to relate to the procurement of end items or reprourement of components and piece parts.

C3.4.1. Is physical uniformity a minimum essential requirement?

C3.4.2. Is uniform configuration necessary for ease of operation or safety?

C3.4.3. Must form, fit, function, or interface be defined to permit interoperability or connectivity between discrete items?

C3.4.4. Will the item be used in a variety of applications?

C3.4.5. Is design control necessary because predictable performance is a minimum essential requirement (reliability, maintainability, survivability, and safety)?

C3.4.6. Must form, fit, function, or interface be identical to replace or substitute for an equivalent item (interchangeability)?

C3.4.7. Are there unique environmental requirements, such as radiation hardness and shock?

C3.4.8. Will there be economies of scale (consolidated buys)?

C3.4.9. Are there stocking and storage considerations (item will be in inventory)?

C3.4.10. Would training for operation, maintenance, or repair be improved by standardization?

C3.4.11. Would research and development costs, engineering time, or procurement time be reduced?

### C3.5. WHEN NOT TO STANDARDIZE

The following provides guidance on when it may not be a good idea to standardize. If the answer is “yes” to any of these questions, then standardization should not be a primary consideration.

C3.5.1. Is the technology unstable? Is it preferable not to freeze design in order to take advantage of technological advances? It may not be practical or desirable to standardize on a set of items if the technology involved is rapidly evolving, and acquiring the state-of-the-art technology is desirable or items go out of production after a short period of time. On the other hand, it may be beneficial to standardize on interfaces or protocols for these types of items. For example, under the open systems initiative, you would not want to standardize on the equipment, but you do want to standardize on the information architecture and the cable attachments to permit interfacing with existing equipment. The tremendous flexibility offered by the open systems approach is only possible by having a standardized “plug and play” capability among the physical and electronic interfaces, while still permitting equipment upgrades to keep pace with technological advances by not standardizing on the internal parts of the equipment.

C3.5.2. Is the primary goal to satisfy customer preferences? If customers can and do turn easily to other sources when their specific preferences are not honored, it may not be practical to standardize at more than a very generic level. Some examples are tools, food products, and medical equipment. While it may be possible to buy standardized products to meet the customer’s requirements, customer preference for specific brand items may be the overriding consideration. This is particularly relevant with the initiation of the credit card purchasing authority, and the new higher thresholds for using simplified buying procedures.

C3.5.3. Will standardization unacceptably inhibit design flexibility and innovation? If a primary goal of an acquisition is to allow the developer maximum design flexibility and innovation, standardization is not appropriate.

### C3.6. STANDARDIZATION AS JUSTIFICATION FOR OTHER THAN FULL AND OPEN COMPETITION

Generally, standardization emphasizes and supports competition through the development and use of performance-oriented standardization documents. However, section 6.302-1(b)(4) of the FAR (reference (j)) allows buying commands to use standardization as justification for other than full and open competition if it can be demonstrated that only specific makes and models of an item from the same manufacturing source will satisfy the DoD's needs.

### C3.7. PRODUCT DESCRIPTIONS

It is important to develop and use the right type of product description to satisfy the immediate technical and acquisition needs, and to support such broader and long-term acquisition objectives as logistics support, competition, quality, use of commercial products and processes, best value, and standardization. In developing the right type of product description, it is DoD policy to write it in performance terms. The SD-15 (reference (k)) provides guidance on writing performance requirements. While this Manual addresses only the policies and procedures for standardization documents, the following briefly discusses the different types of product descriptions to assist the user in making the correct selection for document development.

**C3.7.1. Standardization Documents.** Standardization documents shall be developed and used for products, materials, and processes that have multiple applications; to promote commonality and interoperability among the Military Departments and the Defense Agencies, and between the United States and its allies; and to limit the variety of items in the military supply system. The Acquisition Streamlining and Standardization Information System (ASSIST) database identifies approved defense and Federal standardization documents and adopted non-Government standards (NGSs). Standardization documents include:

C3.7.1.1. Defense specifications and standards developed under the consensus procedures established by this Manual;

C3.7.1.2. Commercial item descriptions (CIDs) and Federal specifications and standards developed under the consensus procedures of the *Federal Standardization Manual* (reference (l)); and

C3.7.1.3. NGS developed under the consensus procedures of private sector standards organizations.

**C3.7.2. Program-Unique Documents.** Program-unique documents apply only to a particular weapon system or program, and little or no potential exists for the application of these documents to other systems or programs. Because of this uniqueness or because a design is still under development and has not stabilized to an extent to warrant standardization, there are no significant advantages to developing a standardization document. Generally, system and development type specifications will be program-unique documents. Program-unique documents may be developed for products, materials, and processes unique to a specific program, or if they

are intended to control configuration during the development phases. Once production begins, consider converting any program-unique documents for products, materials, or processes to a standardization document so that it may better support reprourement, and gain visibility among other potential users by being identified in the ASSIST database.

C3.7.3. Purchase Descriptions. Purchase descriptions may be used when no satisfactory standardization document exists to buy products. Use of purchase descriptions shall be limited to one-time buys, small purchases, or when the development of a standardization document is not considered cost effective.

### C3.8. APPLICATION OF STANDARDIZATION DOCUMENTS

C3.8.1. General. DoD prefers performance-based specifications to detail specifications, and NGS to defense and Federal specifications and standards. For those cases when a detail government specification or standard is needed to define an exact design solution for Acquisition Category (ACAT) Programs I-III, the DoD program office or buying command may use a detail government specification or standard, but only if a waiver is granted. The Director, Naval Nuclear Propulsion shall determine the specifications and standards to be used for naval nuclear propulsion plants in accordance with Executive Order 12344 (reference (h)).

C3.8.2. Documents with No Restrictions for Their Use. Prior to any development contracts, standards or specifications may be incorporated into the operational requirements for a system. These documents (primarily interface standards) are part of the system's performance requirements, and may be included in the solicitations. Other types of standards may also be used without restrictions. Use of these standards is encouraged depending on the situation. The following list is the types of documents that can be used without restrictions:

C3.8.2.1. Any document required by law or regulation.

C3.8.2.2. NGS (except those that mandate using management or manufacturing processes in a Major Defense Acquisition Program (MDAP)).

C3.8.2.3. CIDs listed in the ASSIST database.

C3.8.2.4. Standard Practices listed in the ASSIST database.

C3.8.2.5. Interface standards listed in the ASSIST database.

C3.8.2.6. Defense specifications designated in the ASSIST database as performance specifications.

C3.8.2.7. Federal Information Processing Standards (FIPS).

C3.8.2.8. Guide specifications listed in the ASSIST database.



C3.8.2.9. ISAs.

C3.8.2.10. Handbooks listed in the ASSIST database (not to be cited as a requirement).

C3.8.3. Documents Requiring Waivers. The DoD program office or buying command must obtain a waiver to cite a detail government specification or standard as a requirement in a solicitation for an ACAT program, or any type of specification or standard that mandates management or manufacturing processes in a MDAP solicitation or contract. The waiver approval authority and process shall be as specified in the DoD Component's implementing instructions. DoD program offices and buying commands shall obtain waivers when citing as requirements in solicitations, the following types of documents:

C3.8.3.1. Detail defense specifications.

C3.8.3.2. Program unique detail specifications and standards that define exact design solutions.

C3.8.3.3. Defense test method standards, design criteria standards, and manufacturing process standards.

C3.8.3.4. Federal specifications and standards.

C3.8.3.5. Any type of Government or non-Government specification or standard that describes management or manufacturing processes in a MDAP.

C3.8.4. Exemptions to Waivers. Except as specified by the Component Acquisition Executive, it is not mandatory to obtain a waiver to use the types of documents identified in subsection C3.8.3. above, for the following conditions:

C3.8.4.1. For repurchase of an item not requiring major modification or upgrade, as defined in DoD 5000.2-R (reference (d)).

C3.8.4.2. If the offeror proposes the use of a specification or standard in response to a solicitation (except for management and manufacturing process specifications or standards in a MDAP, which do require a waiver to be cited in solicitations or contracts).

C3.8.4.3. For the following exempted categories of specifications and standards:

C3.8.4.3.1. Federal Supply Group 11 for Nuclear Ordnance.

C3.8.4.3.2. Federal Supply Class 4470 for Nuclear Reactors.

C3.8.4.3.3. The Standardization Area for Technical Manual Specifications and Standards (TMSS).

C3.8.4.4. When a non-DoD customer requires the use of a specification or standard.

C3.8.4.5. For combined or joint acquisition programs where a civilian agency or another country has the lead in the design or acquisition of an item.

C3.8.4.6. If the specification or standard is cited for guidance only, it must be clearly stated in the solicitation what performance criteria will be used in evaluating proposals, and that the specification or standard represents only one possible acceptable solution. The waiver decision authority should challenge excessive listing of specifications and standards used for guidance only, since it may send the wrong message to potential contractors and does not promote acquisition cultural change.

C3.8.5. Department-Wide or Agency-Wide Exemptions from Waiver Process. The Standardization Executives may exempt any specification or standard from the waiver process for use by their Component in solicitations. DoD Components that do not have a Standardization Executive may request a similar exemption from the Chairman of the Defense Standardization Council. These exemptions must be renewed at least every two years.

C3.8.6. Waiver Approval Process. Program offices and buying commands shall submit waiver requests to the cognizant waiver decision authority. Waivers shall only be approved if:

C3.8.6.1. An exact design solution is required and a technically-acceptable non-Government standard does not exist; or

C3.8.6.2. The use of a performance specification or non-Government standard would not meet user needs, be cost effective, or be practicable.

### C3.9. TAILORING OF STANDARDIZATION DOCUMENTS

Tailoring is the process of evaluating individual requirements to determine if they are pertinent and cost-effective for a specific acquisition, and then modifying the requirements to ensure they are kept to a minimum to meet actual needs and that they contribute to a balance between needs and costs. Rewriting, extracting, or eliminating requirements accomplishes tailoring of standardization documents.

C3.9.1. Rewriting Requirements. If a standardization document is generally acceptable, it may be referenced and changes made to certain paragraphs through the contract to tailor requirements to the specific application. If those rewritten requirements are likely to be used repetitively in the future, submit the rewritten requirements to the document's Preparing Activity to prepare a permanent change or recommend the preparation of a new standardization document to meet the recurring need. Use caution when rewriting requirements in a specification since certain changes may alter the standard item of supply unnecessarily and undermine any standardization efforts.

C3.9.2. Extracting Requirements. When only a small portion of a standardization document is needed, extract the requirements rather than unnecessarily referencing the entire document.

C3.9.3. Selected Application. When only portions of a standardization document are needed, but the requirements are too extensive to extract, specify only the applicable requirements. To help in that effort, document preparers should structure standards in a sectionalized format (or a similar format that facilitates tailoring) as much as possible. Sectionalization is the structuring of requirements in several individual sections. Each section contains a separate and distinct group of requirements intended for a defined application.

## C4. CHAPTER 4

### STANDARDIZATION MANAGEMENT

#### C4.1. DEFENSE STANDARDIZATION PROGRAM (DSP) MANAGEMENT STRUCTURE

DoD standardization policies and procedures are managed centrally by the Defense Standardization Program Office (DSPO), and in the Military Departments and the Defense Agencies by the Departmental Standardization Offices (DepSOs). The process for making standardization decisions and documenting those decisions is decentrally executed by the Standardization Management Activities (SMAs) listed in the SD-1 (reference (f)).

C4.1.1. Federal Supply Groups (FSGs), Federal Supply Classes (FSCs), and Standardization Areas. DoD standardization management responsibilities are divided along product and technology lines. The Federal Cataloging System organizes products into logical families known as "Federal Supply Groups (FSGs)", and then subdivides the FSGs into "Federal Supply Classes (FSCs)." Technologies, such as human factors, safety, information processing, and nondestructive testing are organized into standardization areas. Reference (f) identifies the FSGs, FSCs, and standardization areas. Proposed changes to the FSGs, FSCs, and standardization areas must be submitted through the appropriate DepSO to DSPO.

#### C4.1.2. Assignment of Management Responsibilities.

C4.1.2.1. Assignment of DepSOs. The Military Departments and Defense Agencies designate the office in their Department or Agency that shall serve as the DepSO.

C4.1.2.2. Assignment of LSAs. In consultation with the DepSOs, DSPO shall designate the Military Department, Defense Agency, or OSD to manage each FSG, FSC, and standardization area. These assignments shall be made on the basis of overall technical expertise, interest, and resources. Reference (f) lists the responsible Lead Standardization Activity (LSA) for each FSG, FSC, and standardization area. If a LSA has not been assigned, DSPO shall assume temporary management responsibilities.

C4.1.2.3. Assignment of Participating Activities. Each DepSO shall designate a SMA to serve as a Participating Activity for each FSG, FSC, and standardization area for which their Military Department or Defense Agency has an interest. These assignments shall be made on the basis of overall technical expertise, interest, and resources. Reference (f) lists the responsible Participating Activity for each FSG, FSC, and standardization area.

C4.1.2.4. Assignment of Item Reduction Activities (IRAs). In consultation with the DepSOs, DSPO shall designate IRAs to conduct item reduction studies. The assignments shall be made on the basis of overall technical expertise, interest, and resources. Reference (f) lists the responsible IRA for each FSC.

C4.1.2.5. Assignment of Document Management Activities (DMAs). Each DepSO shall designate DMAs to manage, prepare, adopt, and review standardization documents. The assignment of specific DMA functions is given below.

C4.1.2.5.1. Assignment of Preparing Activities (or Adopting Activities). Only activities that have been designated as "DMAs" by their DepSO and listed in the SD-1 (reference (f)) may be Preparing Activities. By approving a standardization project action, the LSA also approves the Preparing Activity for that standardization document. A DepSO or DSPO through a DepSO may also assign Preparing Activity responsibility.

C4.1.2.5.2. Assignment of Custodians. There is no formal method for assigning Custodians. Only coordinated documents shall have Custodians. Only activities listed in the reference (f) may be a Custodian. Usually, the Preparing Activity shall act as the Custodian for its Military Department, and shall request a DMA from each of the other Military Departments to serve as Custodian based on technical expertise or procurement use. If a Military Department does not have an interest in a document, there shall be no Custodian. DLA may also be designated as a Custodian if there are multiple DLA activities having an interest in a document. The Preparing Activity may consult the LSA or the appropriate DepSOs to assist in identifying Custodians.

C4.1.2.5.3. Assignment of Review Activities. There is no formal method for assigning Review Activities. Any SMA listed in the reference (f) may be a Review Activity. Usually, the Preparing Activity will select Review Activities based on technical expertise or procurement use. The Preparing Activity may consult the Custodians or the LSA to assist in identifying Review Activities.

C4.1.2.5.4. Assignment of Military Coordinating Activities (MCAs). Where the DoD has an interest in a Federal specification or a standard prepared by a civilian agency, the cognizant LSA shall assign a MCA to coordinate the document in the DoD and provide consolidated DoD comments or concurrence back to the civilian Preparing Activity.

#### C4.1.3. Transfer of Assignments.

C4.1.3.1. Transfer of LSA Assignments. If an activity no longer has the capability or interest to continue as a LSA, it may request to DSPO through its DepSO to transfer the assignment. That request must state the reasons for the proposed transfer and recommend another activity to assume LSA responsibilities.

C4.1.3.2. Transfer of Participating Activity Assignments. If an activity no longer has the capability or interest to continue as a Participating Activity, it may request its DepSO to transfer the assignment. That request must state the reasons for the proposed transfer and recommend another activity to assume Participating Activity responsibilities.

C4.1.3.3. Transfer of IRA Assignments. If an activity no longer has the capability or interest to continue as an IRA, it may request DSPO, through its DepSO, to transfer that

assignment. The request must state the reasons for proposed transfer and recommend another activity to assume IRA responsibilities.

C4.1.3.4. Transfer of Preparing (or Adopting Activity) Assignment. A Preparing Activity may transfer responsibility for a document to another SMA on receipt of a letter of acceptance from that SMA. The Preparing Activity shall notify the DoD Single Stock Point (DoDSSP), the LSA, and the Custodians by letter, e-mail, or fax, and send the document files to the new Preparing Activity. DSPO, in consultation with the DepSOs, or the cognizant DepSO may also change Preparing Activity assignment.

C4.1.3.5. Transfer of Custodian Assignment. A Custodian may transfer responsibility for a document to another SMA on receipt of a letter of acceptance from that SMA. The Custodian shall notify the Preparing Activity, the DoDSSP, the LSA, and the other Custodians by letter, e-mail, or fax, and send the document files to the new Custodian. The DepSOs may also change Custodian assignment.

C4.1.3.6. Transfer of Review Activity Assignment. Since any SMA may be a Review Activity, there is no need to transfer Review Activity assignment. A SMA may add or delete itself as a Review Activity by notifying the Preparing Activity, the DoDSSP, the LSA, and its Custodian by letter, e-mail, or fax.

C4.1.3.7. Transfer of MCA Assignment. MCA transfer of responsibility may occur in one of three following ways:

C4.1.3.7.1. The MCA and another SMA agree to the transfer.

C4.1.3.7.2. The DepSO may transfer the MCA assignment to another SMA in its Military Department or Defense Agency.

C4.1.3.7.3. DSPO may transfer the MCA assignment.

The MCA shall notify the DoDSSP, the LSA, the GSA, and the civilian Preparing Activity by letter, e-mail, or fax.

#### C4.2. STANDARDIZATION PROJECTS

To develop a new standardization document or make changes to an existing one, the Preparing Activity shall contact the LSA and request authorization to begin a standardization project. The establishment of a standardization project is a cooperative effort between the Preparing Activity and the LSA to ensure that standardization projects are needed and will achieve the objectives of the DSP in a timely and cost-effective manner. The LSA must ensure compliance with DoD standardization policies, but must also be sensitive to each DoD activity's acquisition and technical needs. The LSA's management involvement shall continue throughout the life of a standardization project. As the standardization manager for a FSG, a FSC, or a standardization area, the LSA should assist, if necessary, the Preparing or Adopting Activity in determining

Custodians, resolving standardization problems, raising standardization issues to higher authority, and promoting the timely completion of standardization projects.

C4.2.1. Approval of Standardization Projects. Before requesting approval of a standardization project, the Preparing or Adopting Activity shall ensure the need for a standardization document, and that the project supports the DSP policies and objectives. The LSA shall keep a record of all approved standardization projects. As a minimum, the records shall include the information required in Appendix AP10, as tailored by the LSA. The LSA shall not approve a standardization project if, based on responses to the standardization project justification determination, a standardization project is not necessary or does not support the DSP policies and objectives. The LSA should try to offer an alternative approach for any disapproved standardization project requests. If a standardization project request is disapproved, the Preparing or Adopting Activity may appeal the decision through its DepSO to DSPO.

C4.2.2. Assignment of Standardization Project Number. Assignment of a standardization project number indicates LSA approval of the standardization project for a coordinated, limited coordinated, or interim standardization document or study. The project number shall appear on all drafts and correspondence until document completion and approval.

C4.2.2.1. Standardization Documents Requiring Project Numbers. All DoD Preparing Activities must get standardization project numbers to revise, amend, change, reinstate, inactivate for new design, cancel, or develop a new standardization document. The Adopting Activity must get a standardization project number for the adoption or withdrawal of adoption of a NGS. Item reduction studies and engineering practice studies also require standardization project numbers. The only type of standardization document that does not require a project number is a validation notice.

C4.2.2.2. Standardization Project Number Structure. The standardization project number shall consist of two parts. The first part is the applicable FSG, the FSC, or the standardization area. The second part shall be a nonsignificant four-digit number serially assigned in each FSG, FSC, or standardization area. (For example: 2620-0023, 15GP-1590, or CMAN-0934.) Once all of the nonsignificant four-digit numbers have been assigned in a FSG, a FSC, or a standardization area, the numbering sequence shall start again with "-0001)." Closely related projects initiated in the same timeframe may be identified by a project number followed by a dash and sequentially assigned subproject numbers. (For example, 5960-0001-001, 5960-0001-002, and 5960-0001-003.)

C4.2.3. Preparation and Submittal of DD Form 1585 "Standardization Project Transmittal Sheet". On assignment of a standardization project number, the Preparing or Adopting activity shall prepare and submit a DD Form 1585 in accordance with the instructions given in the SD-4 (reference (m)), with a copy to the LSA. The DoDSSP publishes the information on the DD Form 1585 in reference (m) to advise users of proposed new documents, revisions, amendments, cancellations, and other changes. Report Control Symbol DD-A&T(AR)759 has been assigned to this reporting requirement.

C4.2.4. Monitoring Standardization Projects. The LSA shall monitor the progress of approved standardization projects to ensure timely completion and continued adherence to DSP policies and procedures. The Preparing or Adopting activity shall send the LSA copies of all coordination drafts and the final approved document. The LSA shall work with the Preparing or Adopting activity to ensure compliance with the DSP policies and procedures, but may unilaterally discontinue any standardization project that is not in compliance. A Preparing or Adopting activity may appeal a decision to discontinue a standardization project through its DepSO to DSPO.

#### C4.3. APPROVED STANDARDIZATION DOCUMENTS

The Preparing or Adopting activity has the authority to approve standardization documents, except for new defense standards (including reinstated standards or other types of standardization documents being converted to a defense standard), which must be approved by the cognizant Standardization Executive. This approval is conditional on compliance with the DSP policies and procedures. If adherence to a DSP policy or procedure would not be in the best interests of the DoD, the Preparing or Adopting Activity may request an exception through its DepSO from the DSPO, with a copy of the exception request sent to the appropriate LSA for information. The Preparing Activity is primarily responsible for ensuring that approved standardization documents comply with DSP policies and procedures, but the cognizant LSA also shares this responsibility. If an approved standardization document does not comply with the DSP policies and procedures, the LSA, cognizant DepSO, or DSPO may unilaterally cancel the document. However, it is preferable to develop a corrective strategy that will have minimal impact on the users or any acquisition effort.



## C5. CHAPTER 5

STANDARDIZATION DOCUMENT POLICIESC5.1. GENERAL

This Chapter addresses policies that must be considered during the standardization document development process. Appendices AP3 through AP7 provide supplementary or tailored information for each type of standardization document. Figure C5-F1., below, gives a general representation of the standardization document development process. The steps in this figure may vary depending on the situation.

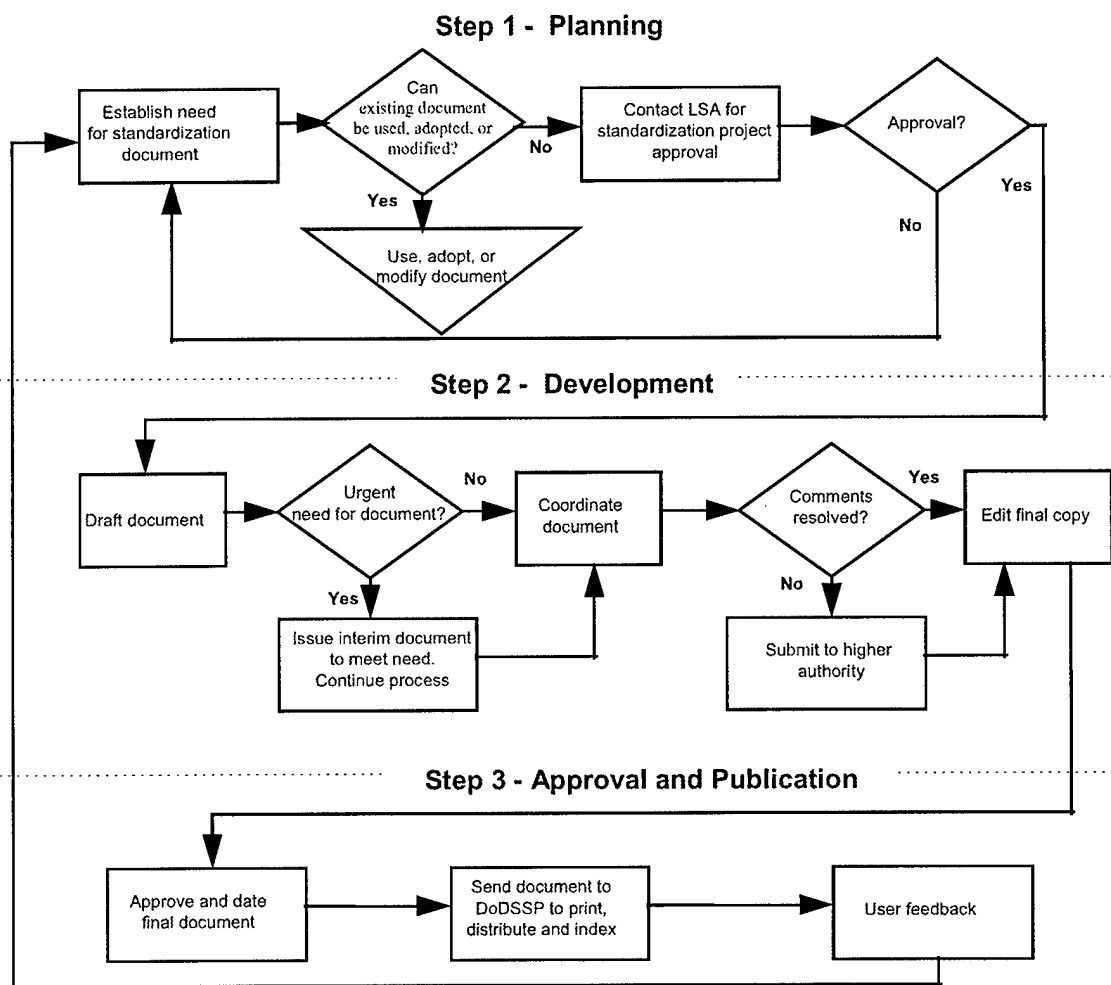


Figure C5-F1. Typical Standardization Document Development Process

## C5.2. TYPES AND USES OF STANDARDIZATION DOCUMENTS

C5.2.1. International Standardization Agreements (ISAs). ISAs are international agreements developed by multi-national treaty organizations to promote equipment interoperability and commonality among the allies. Since interoperability among the allies is one of the key priorities in the DoD, preference shall be given to using U.S.-ratified ISAs or the national document that implements the ISA. The national implementing document may be a non-Government standard (NGS) or any type of Federal or defense specification or standard.

C5.2.2. NGSs. Except for documents required by law or international treaty, it is DoD policy to first consider using an existing NGS or support revising or developing a NGS to meet DoD needs. The use of NGSs supports the DoD commercial acquisition goals, conserves DoD resources, supports the U.S. industrial base, allows for dual-use technology, and improves the DoD's mobilization capabilities. Do not confuse NGSs with company standards. NGSs promote competition and usually provide a broad base of suppliers, whereas company standards tend to limit competition to a single supplier. Appendix AP3. gives the policies, procedures, and responsibilities for the development, use, and adoption of NGSs.

C5.2.3. Commercial Item Descriptions (CIDs). If a suitable NGS is not available or could not be revised or developed in time to satisfy an acquisition need for a commercial product, then develop a CID. CIDs shall be written in performance terms. Besides the general requirements of this Chapter, Appendix AP4. gives supplementary information for the development of CIDs.

C5.2.4. Federal Specifications. Preparing Activities shall develop or update Federal specifications to establish requirements for commercial products, if specific design, performance, interface, or other essential characteristics cannot be described adequately by a NGS or a CID. If a NGS exists that contains the basic technical requirements for a product or process, it should be referenced in the Federal specification, and the Federal specification should contain only those additional requirements needed by the DoD. The requirements in Federal specifications shall be written in performance terms to the greatest extent possible. Besides the general requirements of this Chapter, Appendix AP5. gives supplementary information for the development of Federal specifications.

C5.2.5. Federal Standards. Preparing Activities shall develop or update Federal standards to establish requirements for commercial processes, procedures, practices, or methods, if specific requirements cannot be described adequately by a NGS. If a NGS exists that contains the basic technical requirements for a product or process, it should be referenced in the Federal standard, and the Federal standard should contain only those additional requirements needed by the DoD. The requirements in Federal standards shall be written in performance terms to the greatest extent possible. Besides the general requirements of this Chapter, Appendix AP5. gives supplementary information for the development of Federal standards.

C5.2.6. Federal Information Processing Standards (FIPS). FIPS are government-wide standards and guidelines developed by the National Institute of Standards and Technology for Federal computer systems.

C5.2.7. Defense Specifications. Preparing Activities shall develop or update defense specifications to establish requirements for military-unique products or commercial products that must be substantively modified to include military-unique requirements. If a NGS exists that contains the basic technical requirements for a product or process, it should be referenced in the defense specification, and the defense specification should contain only those additional requirements needed by the DoD. Performance specifications are preferred over detailed specifications. Besides the general requirements of this Chapter, Appendix AP6. gives supplementary information for the development of defense specifications.

C5.2.8. Guide Specifications. Preparing Activities may develop or update guide specifications (also known as specification guides) as an alternative to defense specifications to identify the functional or performance characteristics for subsystems, equipment, or components. Guide specifications are a type of performance specification used to identify recurring essential requirements for types of systems, subsystems, equipment, or assemblies that must be determined for each acquisition before solicitation or contractor selection. Guide specifications offer the advantage of standardizing on the essential requirements that must be determined for each acquisition without imposing restrictive, single-solution requirements. If the repurchase strategy requires identical form, fit, and function from competitive sources, then a defense specification is preferable. Besides the general requirements of this Chapter, Appendix AP7. gives supplementary information for the development of guide specifications.

C5.2.9. Defense Standards. Preparing Activities shall develop or update defense standards to establish requirements for military-unique processes, procedures, practices, or methods, or commercial processes, procedures, practices, or methods that must be substantively modified to include military-unique requirements. If a NGS exists that contains the basic technical requirements for a product or process, it should be referenced in the defense standard, and the defense standard should contain only those additional requirements needed by the DoD. The requirements in defense standards shall be written in performance terms to the greatest extent possible. Besides the general requirements of this Chapter, Appendix AP6. gives supplementary information for the development of defense standards.

C5.2.10. Defense Handbooks. Preparing Activities shall develop or update defense handbooks to provide guidance on procedural, technical, or design information for products, processes, practices, and methods. Preparing Activities may also develop or update defense handbooks to provide guidance on the selection or application of commercial products, processes, practices, and methods. Do not use defense handbooks to specify mandatory requirements. Besides the general requirements of this Chapter, Appendix AP6. gives supplementary information for the development of defense handbooks.

C5.2.11. Consortium Standards. These standards are developed by a group of companies from a common industrial sector, such as the automotive industry, to standardize on common interfaces, items, and processes. Since they are not developed by consensus with due process procedures, they are not considered NGS and not formally adopted by the DoD. However, if a consortium standard meets the DoD's requirements and is readily available to all government and

industry users, preference shall be given to using the consortium standard instead of developing or using a government specification or standard.

**C5.2.12. De Facto Standards.** A *de facto* standard is something that has gained widespread acceptance in the market place, but is not “officially” sanctioned by some international, national, or government organization. Since *de facto* standards represent widely accepted commercial practices, the DoD encourages their use. Before citing a *de facto* standard, however, DoD users must make sure that the standard is readily available.

**C5.2.13. Company Standards.** While DoD users can cite company standards, their use by the DoD is discouraged since it tends to restrict competition. Before citing a company standard, DoD users must make sure that the standard is readily available.

### **C5.3. DRAFT DEVELOPMENT**

Once the Lead Standardization Activity (LSA) has authorized a standardization project, draft development should begin. Table C5-T1., below, identifies the documents that govern the format and content requirements for standardization documents. For complex documents or those with wide applicability, a working group composed of representatives from interested DoD activities and private sector organizations and civilian agencies can be an efficient means of developing a suitable draft, thereby minimizing conflicts arising from coordination comments. Besides technical and format considerations, table C5-T2., below, lists several administrative requirements that the Preparing Activity must address for every standardization document.

<b>Type of Standardization Document</b>	<b>Requirement Document Governing Content and Format</b>
NGS	Each NGSB has its own content and format guide or rules. Appendix AP3. gives format for the adoption and withdrawal notices
CID	<i>Federal Standardization Manual</i> (reference (l))
Federal specification or standard	Reference (l)
Defense specification	MIL-STD-961 (reference (n))
Defense standard or handbook	MIL-STD-962 (reference (o))
Guide specification	Appendix AP7.

Table C5-T1. Format and Content Guides for Standardization Document

	NGS	CID	Federal Spec or Standard	Defense Handbook	Defense Spec or Standard	Guide Spec
AMSC NUMBER	N	N	*	N	*	*
CUSTODIANS	UR	UR	UR	UR	UR	UR
GSA PROJECT AUTHORIZATION	N	N	R	N	N	N
FOR FSG 89 DEPT OF AGRICULTURE AUTHORIZATION	N	R	R	N	N	N
PROJECT NUMBER	R	R	R	R	R	R
QUALIFICATION REQUIREMENT	M	N	M	N	M	N
SECURITY CLASSIFICATION	N	N	N	M	M	M

\* = AMSC NO. ONLY REQUIRED IF SOURCE DOCUMENT FOR DATA ITEM DESCRIPTION

M = MAY BE REQUIRED

N = NOT REQUIRED

R = REQUIRED ALWAYS

UR = USUALLY REQUIRED

Table C5-T2. Matrix for Determining Standardization Document Administrative Requirements

C5.3.1. Acquisition Management System Control (AMSC) Number. For a new or revised specification or standard that serves as a source document for a data item description (DID), the Preparing Activity shall submit the final numbered document to the appropriate approval authority indicated in DoD 5010.12-L (reference (p)). The DID approval authority shall ensure compliance with MIL-STD-963 (reference (q)). The DoDSSP shall issue AMSC numbers and DID numbers to the approval authorities. The Preparing Activity shall not submit amendments or change notices for these documents to approval authorities, but they shall reflect the same AMSC number. The Preparing Activity shall cite either the assigned AMSC number or "AMSC N/A" in the lower left-hand corner of the first page of standardization documents (for NGSs, the "AMSC N/A" only appears on the adoption or withdrawal notice). Defense handbooks, CIDs,

and NGSs shall not be source documents for DIDs. Approval authorities shall forward approved DIDs in Portable Document Format, with a paper copy as well, to the DoDSSP, 700 Robbins Avenue, Building 4D, Philadelphia, PA 19111-5094.

C5.3.2. Security Classification. If applicable, the Preparing Activity shall determine the security classification of standardization documents in accordance with DoD 5200.1-R (reference (r)). Since NGSs, CIDs, and Federal specifications and standards describe commercially available products and processes, the Preparing Activity shall not place a security classification on these documents.

C5.3.3. Qualification. The Preparing Activity must send all requests to include qualification in new specifications or add qualification to existing specifications to its Departmental Standardization Office (DepSO) for approval. If the DepSO agrees, the DepSO shall send a copy of their approval along with the specification and supporting justification to Defense Standardization Program Office (DSPO). The policies and procedures for qualification are in Appendix AP2.

#### C5.4. COORDINATION

The extent of coordination depends on whether a standardization document is a coordinated, limited coordinated, or interim document. Coordination shall be accomplished by electronic means over the Internet, if practical.

C5.4.1. Coordinated Documents. Coordinated documents are those that are used by more than one Military Department or Defense Agency. Most standardization documents should be coordinated ones. As a minimum, the Preparing Activity shall coordinate new, updated, and canceled standardization documents as shown in table C5-T3., below. Any DIDs associated with a standardization document shall be coordinated with the document during the development process. Addresses for the LSA, Custodians, and Review Activities, as well as the addresses for civilian agency standardization offices and many industry associations and non-Government standards bodies (NGSBs) are in the SD-1 (reference (f)).

C5.4.1.1. Preparing Activity. The Preparing Activity shall electronically transmit or send a copy of the draft document to the LSA and each Custodian and Review Activity shown on the document or listed in the Acquisition Streamlining and Standardization Information System (ASSIST) database. For new documents, the Preparing Activity can usually determine the Custodian and Review Activities by checking the ASSIST database and seeing what activities are interested in similar documents. If the Preparing Activity needs help, the LSA may suggest some Custodians and Review Activities. The coordination letter shall give as a minimum: the dates when comments are due to the Custodians and Preparing Activity; where to send comments; a point-of-contact; and identify the major document changes and the expected benefits.

C5.4.1.2. LSA. If requested, the LSA shall assist the Preparing Activity in determining Custodians and Review Activities. The LSA shall also review standardization documents to ensure compliance with Defense Standardization Program (DSP) policies and procedures.

C5.4.1.3. Custodians. All comments in a Military Department or Defense Agency shall be sent to the Custodian for resolution and consolidation. The Custodian shall inform their activities of comments that were not submitted to the Preparing Activity. This may be done with an e-mail, telephone call, telefax, or letter. The Custodian shall also review the Preparing Activity's distribution list. If another activity should be included in the distribution, the Custodian should call the Preparing Activity to send copies. The Custodian response to the Preparing Activity shall identify Review Activities and essential and suggested comments, and if applicable, transfer Custodian responsibility to another activity. The Custodian shall send all of their Review Activities a copy of the response sent to the Preparing Activity.

C5.4.1.4. Review Activities. Review Activities shall send their comments to their cognizant Custodian, marking the comments essential or suggested, as applicable.

C5.4.1.5. Civilian Agencies. The Preparing Activity shall coordinate Federal specifications and standards with the civilian agencies identified by the GSA, the Department of Veterans Affairs (for FSG 65 documents), and the Department of Agriculture (for FSG 89 documents). CIDs are coordinated with civilian agencies, as required. The Preparing Activity shall coordinate defense standardization documents with civilian agencies, where appropriate.

C5.4.1.6. Private Sector. The Preparing Activity shall coordinate draft documents with a representative cross-section of manufacturers and other private sector users. Coordination with industry associations or technical and professional societies may fulfill this requirement, if the Preparing Activity determines that such organizations can provide a representative cross-section. For documents with qualification, the Preparing Activity shall coordinate the draft specification with the manufacturers listed on the qualified products list (QPL) or the qualified manufacturers list (QML). Preparing Activities should consider sending drafts to other private sector organizations, such as distributors, laboratories, NGSBs, and universities, but it is not mandatory.

C5.4.1.7. Coordination Time. The Preparing Activity shall allow a minimum of 45 days for coordination time if coordination is accomplished using electronic means. If traditional mail service is used, then the Preparing Activity shall allow a minimum of 60 days for coordination time. Coordination time can be shortened if the LSA and the Custodians agree and is encouraged for processing minor changes. The Preparing Activity may extend the coordination time to accept late comments.

Type of Standardization Document	Coordinate With
Adoption Notices for NGS	Custodians Review Activities LSA Other users,* if applicable
CIDs	Custodians Review Activities LSA Civilian Agencies, if applicable Other users,* if applicable Private sector
Federal Specifications and Standards	Custodians Review Activities LSA Civilian Agencies Other users,* if applicable Private sector
Defense Standardization Documents	Custodians Review Activities LSA Civilian Agencies, if applicable Other users,* if applicable Private sector

\* Other users are DoD activities that use the document, but are not Standardization Management Activities (SMAs). Examples would include laboratories, shipyards, depots, repair facilities, and procuring activities.

Table C5-T3. Required Coordination for Coordinated Documents

C5.4.2. Limited Coordinated Documents. Limited coordinated documents are those used by only one Military Department or Defense Agency and do not have Custodians. Limited coordinated documents should be the exception rather than the rule since they do not promote interdepartmental standardization. The LSA shall require strong justification before approving a standardization project for a limited coordinated document. Limited coordinated documents shall follow the same procedures as coordinated documents, except as follows:

C5.4.2.1. The Preparing Activity must allow a minimum of 30 days coordination time.



C5.4.2.2. As a minimum, limited coordination should include the LSA, the DoD users in the Military Department or the Defense Agency, and manufacturers.

C5.4.2.3. Minor technical, editorial, or administrative changes may be issued without coordination if the LSA concurs with the Preparing Activity's request for simultaneous initiation and completion project approval.

C5.4.2.4. To meet urgent acquisition needs or correct a serious safety problem, a limited coordinated document may be issued or revised without coordination. This practice is discouraged since it indicates poor planning. If the LSA is convinced of the need, two project numbers should be issued: one to meet the immediate need and a second for the document to be coordinated.

C5.4.3. Interim Documents. Interim documents allow for quick changes to be made to coordinated documents when time does not permit normal coordination. Interim documents shall follow the same procedures as limited coordinated documents, except as follows:

C5.4.3.1. The LSA shall assign two standardization project numbers for all interim document requests: one for the interim document and a second for the coordinated document that will supersede the interim.

C5.4.3.2. The LSA shall assign a standardization project number for the coordinated document having a project completion date not exceeding 2 years from the date of the project assignment for the interim document.

C5.4.3.3. No coordination is required for the interim document.

C5.4.3.4. Only one interim document shall exist at a time for a coordinated document.

C5.4.3.5. The interim document must be superseded by a coordinated document within 2 years of the interim document's approval date or it shall be canceled by DSPO.

## C5.5. COMMENT RESOLUTION

The Preparing Activity shall consider all comments received during coordination, but need only incorporate or resolve "essential" comments. A standardization document shall not be approved by the Preparing Activity with unresolved essential comments. The Preparing Activity should resolve comments as quickly as possible, requesting arbitration from higher authority, if necessary. The following criteria shall be used for handling coordination comments:

C5.5.1. Essential Comments. Only the LSAs, the Custodians, the Review Activities, the DepSOs, and the OSD may make essential comments. Civilian agencies may make essential comments on documents in which they have a recorded interest or serve as the buying activity. For a comment to be essential, it must be of such an important technical nature that its acceptance is necessary to meet the mission needs of a Military Department or a Defense

Agency. Comments about noncompliance with DSP policies may also be designated as essential. Essential comments must be justified or they will be treated as suggested. Custodians shall review all of the essential comments in their Military Department or Defense Agency, and change any comments inappropriately marked as "essential" to "suggested" after notifying the comment submitter. Review Activities may appeal the Custodian's action to their DepSO. If the Preparing Activity receives comments inappropriately marked as "essential," the Preparing Activity may change the comments to "suggested" after notifying the submitting activity. Activities submitting essential comments may appeal the Preparing Activity's disposition of their comments to the appropriate LSA. If the LSA is unable to resolve the matter, it may raise the issue to the Preparing Activity's DepSO for resolution. If the DepSO is unable to resolve the matter, it may raise the issue to DSPO for final resolution.

C5.5.2. Suggested Comments. Suggested comments include editorial changes, questions, general observations, and technical content preferences that are not absolutely necessary to meet mission requirements. Normally, most comments should be suggested. Suggested comments do not require resolution.

C5.5.3. Responding to Comments. Preparing Activities should advise the Custodians of their intent to accept an essential comment if, in their opinion, it would substantially impact the other activities' position on the document. If the comments are few, the Preparing Activity should use the telephone to advise submitters how their comments were handled. For numerous or complex comments, the Preparing Activity shall respond with an electronic message, by letter, or hold a comment resolution meeting.

C5.5.4. Resolving Essential Comments. The Preparing Activity may resolve essential comments in one of the following ways:

C5.5.4.1. The Preparing Activity may accept the comment.

C5.5.4.2. The Preparing Activity may accept the comment with modification. The Preparing Activity shall tell the comment submitter of the modification and give the submitter at least 30 days to rebut the modification. If no reply is received in 30 days, the Preparing Activity may issue the document.

C5.5.4.3. When justified, the Preparing Activity may downgrade the comment to "suggested." The Preparing Activity shall tell the comment submitter of the change and give the submitter at least 30 days to rebut the action. If no supportable objections are received in 30 days, the Preparing Activity may treat the comments as suggested.

C5.5.4.4. When justified, the Preparing Activity may reject the comment, allowing the comment submitter at least 30 days to rebut the rejection. If no supportable objections are received in 30 days, the Preparing Activity may issue the document without incorporating the essential comment.

C5.5.4.5. A working group composed of representatives from interested DoD activities and other private sector organizations and civilian agencies can be an effective means of resolving comments on a complex or controversial document.

C5.5.4.6. If the Preparing Activity cannot resolve the comment in a timely manner, the Preparing Activity may ask the LSA to mediate. If the LSA cannot resolve the disagreement, the Preparing Activity shall submit the unresolved comments to its DepSO to take appropriate resolution action. If the DepSO cannot resolve the disagreement, it shall submit the unresolved comments to DSPO for arbitration.

## C5.6. DOCUMENT APPROVAL

Except as noted in subsections C5.6.1. and C5.6.2., once the comments are resolved, the Preparing Activity may approve the document and date it. The Preparing Activity shall submit a DD Form 1585 and copy of the approved document to the LSA to indicate completion of the standardization project. If the LSA discovers that the approved document does not comply with DSP policies, it should contact the Preparing Activity immediately. If the Preparing Activity does not take corrective action or the LSA is not satisfied with the Preparing Activity's explanation, the LSA may unilaterally cancel the document. The Preparing Activity may appeal any cancellation action through its DepSO to DSPO.

C5.6.1. Approval of New Defense Performance Specifications. Each Military Department and Defense Agency shall establish procedures for certifying new defense performance specifications that will be listed in the ASSIST database. Preparing Activities may approve updates to existing defense performance specifications without certification. When a new defense performance specification is sent to the DoDSSP for distribution and indexing, an approval letter signed by the authorized certifier must accompany the document.

C5.6.2. Approval of New Defense Standards. The cognizant Military Department or Defense Agency Standardization Executive shall approve all new defense standards that will be listed in the ASSIST database. This is the executive that sits on the Defense Standardization Council and not a command standardization executive. Preparing Activities shall consult with their DepSO before undertaking any new defense standard development. Preparing Activities shall submit their final new defense standards to their DepSO to obtain Standardization Executive approval. Preparing Activities may approve updates to existing defense standards without approval by their Standardization Executive. When a new defense standard (including reinstated standards or other types of standardization documents being converted to a defense standard) is sent to the DoDSSP for distribution and indexing, an approval letter signed by the cognizant Standardization Executive must accompany the document.

## C5.7. DOCUMENT NUMBERING

C5.7.1. Defense Standardization Documents, CIDs, and DIDs. For new DoD performance and detail specifications, standards, handbooks, CIDs, and DIDs, the Preparing Activity shall request the DoDSSP to assign a document number only after document approval, and not during

the draft stages. The Preparing Activity may make this request by telephone, e-mail, fax or letter. The Preparing Activity shall send the newly approved document to the DoDSSP within 30 days of document number assignment, or the DoDSSP may rescind the document number.

C5.7.2. Guide Specifications. Preparing Activities shall assign new guide specification numbers in accordance with Appendix AP7. of this Manual.

C5.7.3. Federal Specifications and Standards. For Federal specifications and standards, the General Services Administration, the Department of Veterans Affairs (for FSG 65 documents), and the Department of Agriculture (for FSG 89 documents) shall assign the document number upon approval of the document.

#### C5.8. STANDARDIZATION DOCUMENT ACCESS AND INFORMATION

Consistent with the policies and procedures in this Manual and under the direction of DSPO, the DoDSSP shall make government standardization documents available over the Internet and shall enter information about the documents into the ASSIST database. The DoDSSP shall also print and distribute standardization documents, as necessary. The DoDSSP shall send one copy of all DoD-prepared Federal specifications, standards, and CIDs to the GSA. The DoDSSP's printing and operational costs shall be borne by the Military Departments and the Defense Agencies, which, unless other arrangements have been made with the DoDSSP, shall submit quarterly to the DoDSSP a document citing funds for the financial support of their requirements.

C5.8.1. Submitting Documents to the DoDSSP. The Preparing Activity shall send the approved and dated document to the DoDSSP within 30 days of dating the document in Portable Document Format (PDF). A paper copy of the document shall also be submitted at the same time.

C5.8.2. Distribution. The DoDSSP shall distribute standardization documents using the following criteria:

C5.8.2.1. The DoDSSP shall maintain automatic distribution lists for standardization documents based on the Federal Supply Classes (FSCs) and the standardization areas. The public and private sector organizations and individuals that subscribe to a FSC or a standardization area shall receive all of the new documents and changes to documents as they are published, except those that have restricted distributions.

C5.8.2.2. The DoDSSP shall update the automatic distribution lists annually to determine need and subscription quantities.

C5.8.2.3. Classified standardization documents are not distributed automatically and shall be issued only on a "need-to-know" basis in accordance with DoD 5220.22-R (reference (s)).

C5.8.2.4. Standardization documents with restrictive distributions will only be issued consistent with the distribution restrictions selected by the Preparing Activity.

C5.8.2.5. Government and private sector requestors may obtain copies of canceled standardization documents from the DoDSSP, if available.

C5.8.2.6. Copies of NGSs shall only be distributed to DoD activities. Other Government activities and the private sector must obtain copies from the issuing NGSB or other private sector source.

C5.8.3. Indexing. The DoDSSP shall index all unclassified standardization documents in the ASSIST database. The DoDSSP shall index classified standardization documents in a separate listing, which is available to DoD activities and DoD contractors only. The DoDSSP shall:

C5.8.3.1. Publish the DoDISS (reference (t)) annually in four parts:

C5.8.3.1.1. Part I - alphabetical listing.

C5.8.3.1.2. Part II - numerical listing.

C5.8.3.1.3. Part III - FSC and standardization area listing.

C5.8.3.1.4. Part IV - canceled documents listing.

C5.8.3.2. Update reference (t) quarterly with supplements.

C5.8.3.3. Issue notices to reference (t) twice a month to list new, updated, adopted, inactivated for new design, canceled, reinstated, or validated standardization documents received by the DoDSSP for inclusion in the ASSIST database.

C5.8.4. Changes to the ASSIST Database.

C5.8.4.1. Preparing Activity. The Preparing Activity shall submit a DD Form 1865 to the DoDSSP, with a copy to the LSA and Custodians, to change or correct a document's identifier, title, FSC or standardization area, date, or Preparing Activity symbol. The DoDSSP shall only make these changes to the ASSIST database if the DD Form 1865 is submitted by the Preparing Activity recorded in the ASSIST database.

C5.8.4.2. Custodian. Custodians shall submit a DD Form 1865 to the DoDSSP, with a copy to the Preparing Activity, to change the Custodian symbol. The DoDSSP shall only change the symbol if the DD Form 1865 is submitted by the Custodian recorded in the ASSIST database. For documents where there is not a Custodian for a Military Department or Defense Agency, a DMA may submit a DD Form 1865 to the DoDSSP, with a copy to the Preparing Activity, to identify itself as the Custodian.

C5.8.4.3. Review Activity. Review Activities shall submit a DD Form 1865 to the DoDSSP, with a copy to the Preparing Activity and cognizant Custodian, to change the Review Activity symbol. The DoDSSP shall only change the symbol if the DD Form 1865 is submitted by the Review Activity recorded in the ASSIST database. Any DMA may submit a DD Form 1865 to the DoDSSP, with a copy to the Preparing Activity and cognizant Custodian, to add itself to the ASSIST database as a Review Activity.

#### C5.9. DOCUMENT MAINTENANCE

Standardization documents affect the initial acquisition of new systems and equipments and the required logistic support. These documents must contain valid requirements that accurately describe the users' needs, current technology, modern industrial practices, and relevant testing methods. The Preparing Activity is responsible for maintaining its standardization documents. As a result of user feedback and the overage document review, the Preparing Activity must update or validate the requirements in its standardization documents until the document is inactivated, superseded, or canceled.

C5.9.1. User Feedback. User feedback from industry, program offices, inspection offices, procuring activities, and other users who must comply with a standardization document is an important indicator of the document's effectiveness in meeting a requirement. Preparing Activities shall encourage and respond to user feedback in a timely manner.

C5.9.1.1. DD Form 1426, "Standardization Document Improvement Proposal." The DD Form 1426 is the primary communication link between the users of standardization documents and the Preparing Activities. The Preparing Activity shall include a DD Form 1426 as the last page of all Government specifications, standards, and handbooks. The DD Form 1426 is optional on CIDs and specification sheets. The DD Form 1426 shall not be attached to amendments or notices, except to change the responsible activity or its address. Preparing Activities shall reply to submitters of DD Forms 1426 within 30 days from receipt. That reply should indicate what action will be taken on the proposal. Replies indicating the comment will be considered at the next update should be avoided.

C5.9.1.2. Deviations and Waivers to Defense and Federal Specifications and Standards. Deviations and waivers should not be approved without ensuring that the defense or Federal specification or standard reflects valid technical requirements. Procuring activities shall notify the appropriate Preparing Activity and the LSA of a deviation or waiver to a defense or Federal specification or standard that was approved to correct an invalid requirement. Repeated use of a deviation or waiver to correct an invalid requirement in a defense or Federal specification or standard is prohibited unless the Preparing Activity begins a standardization project to correct the invalid requirement.

C5.9.2. Overage Document Review. All documents identified as active in the ASSIST database must be reviewed within 5 years from the time they were last updated or validated. The DoDSSP shall mail an annual listing of defense and Federal standardization documents that are 5

years or older to the appropriate Preparing Activities, the DepSOs, and DSPO. The Preparing Activities shall review these lists and take one of the following actions:

C5.9.2.1. The overage document list is generated from the ASSIST database. If the information is incorrect, the Preparing Activity shall send a letter, e-mail, or fax to the DoDSSP to make the correction.

C5.9.2.2. For Government standardization documents, if the document is technically current and conforms to DSP policies, the Preparing Activity shall issue a validation notice with a copy to the LSA.

C5.9.2.3. For NGSs, a validation notice is not required since each NGSB conducts its own overage document review to ensure technical currency. The adopting activity need only ensure there is still a need for the NGS.

C5.9.2.4. Establish a standardization project to update the document.

C5.9.2.5. Inactivate the document for new design.

C5.9.2.6. Cancel the document.

C5.9.3. Failure to Take Action on Overage Documents. If a Preparing Activity does not take appropriate action to validate, update, inactivate for new design, or cancel an overage document after 1 year, the LSA may cancel the document, or if another SMA agrees to accept Preparing Activity responsibility, transfer the document. Before taking such unilateral action regarding a document, the LSA shall notify the delinquent Preparing Activity of its intention to cancel or transfer the overage document and shall allow at least 30 days for the Preparing Activity to initiate corrective action.

C5.9.4. Revisions. A revision to a standardization document is part of the basic maintenance process. The revision process is the same as the basic document development process discussed throughout this Chapter. The format for revising a standardization document is discussed in the applicable format and content guides shown in table C5-T1, above. A new document shall be prepared, rather than revised, where requirement changes would significantly affect applicability or scope.

C5.9.5. Amendments. Amendments make short, simple changes to defense and Federal specifications. No other Government standardization document may be amended. If the number of amendment pages exceeds 25 percent of the basic document page count, the Preparing Activity shall revise the specification. The amendment process is the same as the basic document development process discussed throughout this Chapter. The *Federal Standardization Manual* and MIL-STD-961 (references (l) and (n)) address amendment format and content for Federal and defense specifications.

C5.9.6. Change Notices. Change notices transmit page revisions for defense standards and, handbooks and Federal standards. The change notice process is the same as the basic document development process discussed throughout this Chapter. MIL-STD-962 (reference (o)) addresses the change notice format and content for defense standards, and handbooks. The *Federal Standardization Manual* (reference (l)) addresses the change notice format and content for Federal standards.

C5.9.7. Validation Notices. Validation notices indicate the Preparing Activity has reviewed an active Government standardization document that has not been updated or validated for 5 years and determined that the requirements are current, meet the users' needs, and comply with the policies of the DSP. The Preparing Activity shall not validate any active document that does not meet all of these criteria. The Preparing Activity shall also review inactive for new design documents every five years to validate only that there is still a need for the document. The following policies and procedures shall apply for validation notices:

C5.9.7.1. The format for validation notices shall be as specified in MIL-STD-961 or MIL-STD-962 (references (n) and (o)).

C5.9.7.2. Validation notices shall not make any changes to the basic document other than to update Custodians and Review Activities. Only revisions, amendments, or change notices can be used to make changes.

C5.9.7.3. Validation notices do not require project numbers.

C5.9.7.4. The Preparing Activity does not have to coordinate a validation notice, but shall provide the LSA with a copy of that notice.

C5.9.7.5. Validation notices shall not be issued for NGSs, but every 5 years, the Adopting Activity shall verify that there is still a need.

C5.9.8. Inactive for New Design Notices. Documents shall be inactivated for new design if the intent is to use them to support existing equipment. While DoD procuring activities may not require the use of an inactive for new design document in solicitations for new systems or acquisition category (ACAT) level major modification or upgrade programs, contractors may use these documents as part of their design proposal. When a contractor in response to a solicitation proposes an inactive for new design document, the resultant contract may cite that document. The process for issuing an inactive for new design notice is the same as the basic document development process discussed throughout this Chapter. The format for inactivating a standardization document is discussed in the applicable format and content document shown in table C5-T1, above. If the government desires to cite an inactive for new design document in a solicitation for a new system, or for an ACAT level major modification or upgrade program, they must reactivate the document. Recognizing that many of DoD's current systems will remain in the inventory for years to come, it may be necessary to maintain the currency of inactive for new design documents through revisions, amendments, and notices to support or reprocur existing



systems. When updating an inactive for new design document, the document shall comply with MIL-STD-961 or MIL-STD-962 (references (n) and (o)), as appropriate.

**C5.9.9. Cancellation Notice.** The Preparing Activity shall issue a cancellation notice when the DoD no longer needs a standardization document for acquisition, procurement, or design. Non-DoD organizations may continue to use a canceled document, but DoD program offices and buying commands shall only cite canceled documents if a waiver has been granted following the Component's waiver instructions. The format for canceling a standardization document is discussed in the applicable format and content document shown in table C5-T1, above. The process for issuing a cancellation notice is the same as the basic document development process discussed throughout this Chapter, except as follows:

**C5.9.9.1.** There shall be no expedited coordination to cancel a document. The Preparing Activity shall always allow at least 60 days for the LSA, Custodians, Review Activities, industry, and other users to comment on the proposed cancellation of a coordinated document and 30 days for a limited coordinated document.

**C5.9.9.2.** The Preparing Activity should include a statement in the coordination letter that any Custodian or Review Activity that still requires the document should be willing to assume Preparing Activity responsibility.

**C5.9.9.3.** See Appendices AP4. and AP5. for additional requirements on canceling CIDs and Federal specifications and standards.

**C5.9.10. Reinstatement Notices.** The Preparing Activity, or with its permission another activity, may reinstate a canceled document by issuance of a notice of reinstatement. The cognizant Standardization Executive shall approve the reinstatement of a defense standard. The format for reinstatement notices is discussed in the applicable format and content document shown in table C5-T1, above. The process for issuing a reinstatement notice is the same as the basic document development process discussed throughout this Chapter, except as follows:

**C5.9.10.1.** If a coordinated document is being reinstated without change, the Preparing Activity need only coordinate with the Custodians and Review Activities to determine their interest in the reinstated document.

**C5.9.10.2.** If a limited coordinated document is being reinstated without change, the Preparing Activity need only coordinate with any Review Activities to determine their interest in the reinstated document. If there are no Review Activities, coordination is not required.

**C5.9.10.3.** The Preparing Activity can amend or revise the document concurrent with the reinstatement action, but must follow the procedures for revision, amendments, or change notices, as applicable.

**C5.9.10.4.** Do not reinstate canceled interim documents.

## C6. CHAPTER 6

### U.S. PARTICIPATION IN THE DEVELOPMENT AND RATIFICATION OF INTERNATIONAL STANDARDIZATION AGREEMENTS INTENDED FOR USE IN DEFENSE ACQUISITIONS

#### C6.1. GENERAL

These policies and procedures establish the criteria for U.S. participation in the development, ratification, and implementation of international standardization agreements (ISAs) promulgated by international treaty organizations, which are used by the acquisition workforce in the acquisition process (herein referred to as "intended for use in acquisitions"). Such ISAs are usually implemented through incorporation into defense or Federal standards or specifications, but may be self-implementing and can be cited directly in solicitations, contracts, or other acquisition documents.

#### C6.2. RESPONSIBILITIES

C6.2.1. Standardization Executives. The cognizant Standardization Executive shall develop procedures for participation in the development and ratification of ISAs intended for use in acquisitions for his or her Military Department or Defense Agency. Cognizant means the Military Department or Defense Agency in which the National Delegate to a Committee is located. The Defense Standardization Executive shall be the cognizant Standards Executive for the Office of the Secretary of Defense and for Defense Agencies that do not have Standardization Executives.

C6.2.2. Departmental Standardization Office (DepSO). The DepSOs shall coordinate the day-to-day actions on behalf of their Standardization Executive.

C6.2.3. National Delegates. The National Delegates shall consult with the cognizant Standardization Executive through the Military Department or Defense Agency chain-of-command on issues such as whether the U.S. should participate in specific ISA working parties, should ratify specific ISAs, or should express reservations to specific ISAs for all ISAs intended for use in acquisitions.

C6.2.4. Office of Primary Responsibility (OPR). The OPRs shall:

C6.2.4.1. Consult with National Delegates on issues needing coordination with the Standardization Executive, such as whether the Committee should approve an ISA, the U.S. should state a reservation to an ISA, or whether the U.S. should ratify a particular ISA.

C6.2.4.2. Coordinate any proposed changes to implementing documents or withdrawals of ratification with the International Standardization Offices of the Military Departments and Defense Agencies.

C6.2.4.3. Ensure that all ratified ISAs intended for use in acquisitions are implemented, that the Preparing Activity of the U.S. implementing document is notified of any changes to the ISA, and that the ratified ISA is indexed according to the procedures herein.

C6.2.5. International Standardization Offices. International Standardization Offices shall:

C6.2.5.1. Consult with the Standardization Executive and the National Delegate on the participation, ratification, and implementation of ISAs intended for use in acquisitions within its Military Department or Defense Agency.

C6.2.5.2. Coordinate any proposed changes to implementing documents or withdrawals of ratification with the International Standardization Offices of the other Military Departments and Defense Agencies.

C6.2.6. Preparing Activities. Preparing Activities shall:

C6.2.6.1. Develop and maintain specifications and standards to implement ISAs, where required.

C6.2.6.2. Notify and coordinate with the cognizant OPR any proposed changes or cancellations to the U.S. implementing document for an ISA.

### C6.3. PARTICIPATION

C6.3.1. Policy for ISAs intended to be used in acquisitions. The U.S. will only participate in the development and ratification of ISAs that will improve the effectiveness of the multinational forces when operating together, or ensure compatibility, interoperability, interchangeability, or commonality, for U.S.-supplied materiel, and do not conflict with the tenets of acquisition reform.

C6.3.2. Responsibility. The Standardization Executive is responsible for coordinating participation on assigned Committees and on Working Parties for ISAs intended for use in acquisitions. Participants at all levels are responsible for identifying and taking action to develop coordinated U.S. positions on issues of importance, and for reporting appropriate activity up the participation chain-of-command.

C6.3.3. Procedure. The National Delegate to a Committee shall apprise the cognizant Standardization Executive when the Committee is working on ISAs intended for use in acquisition. Normally, a National Delegate works through the chain-of-command to ensure the cognizant OPR and International Standardization Office personnel provide the appropriate level of support to the Committee's ISA activities. The National Delegate must coordinate the proposed ISA in accordance with procedures of the Military Department or Defense Agency to ensure that it is technically correct and adequate, that it is consistent with U.S. laws and policies, and that it meets identified needs of the U.S. military. The OPR, in consultation with its International Standardization Office, will work with the International Standardization Offices in

the other Military Departments and Defense Agencies to identify appropriate personnel to assist in the development process.

#### C6.4. RATIFICATION

C6.4.1. Policy. The U.S. will generally ratify ISAs that meet identified needs of the U.S. military. Ratification should only be approved if the procedures of the Military Department or Defense Agency established in accordance with section C6.3., above, have been successfully completed, and if all interested and affected International Standardization Offices have had the opportunity to participate in final review of the document. The cognizant Standardization Executive should approve ratification only if the proposed ISA:

C6.4.1.1. Does not conflict with DoD acquisition reform initiatives;

C6.4.1.2. Has substance and is technically correct and adequate to meet the U.S. DoD's needs;

C6.4.1.3. Will not adversely affect the performance, quality, cost, or reliability of U.S. materiel;

C6.4.1.4. Will be consistent with existing DoD standardization documents;

C6.4.1.5. Will not require extensive reservations;

C6.4.1.6. Will not conflict with U.S. military or civilian laws or practices, or with other ratified standardization agreements; and

C6.4.1.7. Is accompanied by a viable implementation plan.

C6.4.2. Responsibility. The cognizant Standardization Executive must concur during the coordination process before an ISA intended for use in acquisitions can be ratified. The Standardization Executive will make determinations as to whether to concur based on the National Delegate's recommendation and the preceding guidelines. The Military Departments and Defense Agencies shall designate the ratifying officials.

C6.4.3. Procedure. The National Delegate, in consultation with the OPR, and in accordance with the coordination procedures of the Military Department or Defense Agency, shall provide to the cognizant Standardization Executive recommendations on whether or not the U.S. should ratify ISAs intended for use in acquisitions, with or without reservations. The recommendation should include a copy of the ISA, a discussion of the pertinent issues, and the proposed implementation plan for the ISA. The Standardization Executive shall notify the National Delegate as to concurrence or reasons for non-concurrence. The ratifying official shall stipulate in the "ratification document" the form that implementation will take (e.g., "MIL-PRF-xxx will be modified to..." or "Buying Activity Z's standard operating procedure will be revised to always cite STANAG xyz in solicitations for ...").

## C6.5. ISA IMPLEMENTATION

C6.5.1. Policy. All ratified ISAs must either be self-implementing (i.e., can be directly cited in solicitations and contracts) or have a U.S. implementing document.

C6.5.2. Responsibility. The OPR, in consultation with the National Delegate, shall determine whether the ISA appears to be self-implementing. The OPR shall consult with the National Delegate to recommend to the cognizant Standardization Executive the appropriate method of implementation and the implementation date.

C6.5.3. Procedure. Based on the decision of the appropriate method of implementation, the OPR shall take appropriate action, as follows:

C6.5.3.1. If the ISA is self-implementing, no implementing document shall be developed.

C6.5.3.2. If the ISA is not self-implementing and there is no existing implementing document, the OPR shall contact its DepSO. The implementing document may be a defense specification or standard, a Federal specification or standard, or a non-Government standard.

C6.5.3.3. If the OPR determines that an implementing document already exists, the OPR shall contact the Preparing Activity of the implementing document to determine needed changes to address the provisions of the ISA, and to ensure that the implementing document makes appropriate reference to the ISA.

C6.5.3.4. The Preparing Activity of an implementing document shall record the International Standardization Offices from all interested Military Departments and Defense Agencies as Review Activities in the implementing document.

## C6.6. CANCELLATION OF AN IMPLEMENTING DOCUMENT

C6.6.1. Policy. A defense or Federal specification or standard that implements an ISA may not be canceled without ensuring that appropriate consideration is given to its effect on the ISA.

C6.6.2. Responsibility. The Preparing Activity for a document that cites an ISA is responsible for informing the OPR of a proposed cancellation. The Standardization Executive, in consultation with the OPR, the National Delegate, and the International Standardization Office, is responsible for determining the appropriate response to the proposed cancellation.

C6.6.3. Procedure. If a defense or Federal specification or standard that implements an ISA is proposed for cancellation, the Preparing Activity shall review it for ISA implementation requirements prior to cancellation. If the document is found to contain a citation of a current agreement, the Preparing Activity, in consultation with the OPR, the National Delegate, the

interested International Standardization Offices, and the cognizant Standardization Executive, shall determine an appropriate course of action, as follows:

C6.6.3.1. If the ISA can be a stand-alone document and an implementing document is unnecessary, proceed with canceling the implementing document.

C6.6.3.2. If the ISA and the implementing document are determined no longer to be necessary, the Preparing Activity shall seek and obtain concurrence of the cognizant Standardization Executive before proceeding with the cancellation of the document and taking action to withdraw U.S. ratification of the ISA.

C6.6.3.3. If the ISA is still needed, it is not self-implementing, and retaining the implementing document is undesirable, then the Preparing Activity and the OPR shall incorporate the appropriate provisions of the ISA in another document.

C6.6.3.4. If the ISA is still needed to meet U.S. needs, and it is not self-implementing, then the implementing document may need to be retained.

#### C6.7. WITHDRAWAL OF ISA RATIFICATION

C6.7.1. Policy. The U.S. should withdraw ratification of an ISA that conflicts with U.S. law, DoD policy, other essential DoD standardization documents, or other ISAs; fails to meet DoD needs; is superfluous, redundant, or obsolete; or inhibits development or application of new technologies.

C6.7.2. Responsibility. The Standardization Executive shall have the responsibility to initiate action to withdraw ratification for ISAs intended for use in acquisitions originating from Committees for which his or her Military Service or Defense Agency has the National Delegate responsibility. The cognizant ratifying official shall have the authority to withdraw ratification for ISAs intended for use in acquisitions.

C6.7.3. Procedure. To withdraw ratification of an ISA intended for use in acquisitions, the OPR shall coordinate the proposed withdrawal within its own Military Department or Defense Agency, and with the International Standardization Offices of the other Military Departments and Defense Agencies. Upon agreement that ratification should be withdrawn, the cognizant National Delegate shall send notification to the International Treaty Organization stating that the U.S. withdraws its ratification of the ISA and the effective date of the withdrawal. The National Delegate shall take appropriate action to ensure the international organization has acknowledged the withdrawal of U.S. ratification.

#### C6.8. PERIODIC REVIEW

C6.8.1. Policy. The OPR, in consultation with the National Delegate, shall review ISAs intended for use in acquisition for which they have responsibility at least every 5 years to determine whether they are still needed, and if so, whether they are current.

C6.8.2. Responsibility. The National Delegate is responsible for ensuring that the OPR initiates the periodic review and takes appropriate actions resulting from the review.

C6.8.3. Procedure. If the periodic review of an ISA shows that action is needed either to update an ISA or to withdraw ratification, the OPR shall initiate the appropriate action. If the ISA is in need of revision, the National Delegate shall propose changes to the Committee. If withdrawal is recommended, the procedures described in section C6.7. shall be followed.

#### C6.9. INDEXING AND DISTRIBUTION

The DoD Single Stock Point (DoDSSP) shall be responsible for indexing and distributing all U.S.-ratified ISAs, whether they are materiel, operational, doctrine, or administrative. The National Delegate shall ensure that the OPR forwards the U.S.-ratified ISA to the DoDSSP, 700 Robbins Avenue, Building 4D, Philadelphia, PA 19111-5094, for indexing. This shall be accomplished by sending a camera ready copy, or electronic version, of the ISA to the DoDSSP. The DoDSSP shall be responsible for maintaining adequate controls on distribution of ISAs, and shall produce and distribute copies of ISAs on an "as requested" basis.

AP1. APPENDIX 1

DEFINITIONS

AP1.1. Acquisition Streamlining and Standardization Information System (ASSIST). The official database containing information about standardization documents used in the DoD. ASSIST also provides electronic access to government standardization documents over the Internet.

AP1.2. Activity. One of the organizational elements of the Military Departments, Defense Agencies, or civilian agencies.

AP1.3. Adopted Non-Government Standard. A non-Government standard that has been accepted for use by the DoD and is identified as adopted in the ASSIST database.

AP1.4. Adopting Activity. The activity responsible for the adoption of a non-Government standard.

AP1.5. Agent. An activity that acts for, and by authority of, the Preparing Activity or Adopting Activity in the preparation of standardization documents, item reduction studies, engineering practice studies, and the administration of QPLs and QMLs. The Preparing Activity retains responsibility and approval authority for the work accomplished.

AP1.6. Applicant. The manufacturer or distributor making application for qualification of a product.

AP1.7. Civilian Agency. A Federal agency other than the DoD.

AP1.8. Commercial Item Description (CID). An indexed, simplified product description managed by the GSA that describes, by functional or performance characteristics, the available, acceptable commercial products that will satisfy the Government's needs.

AP1.9. Commercial Product. An item of a type customarily used for non-Government purposes and that has been sold or offered for sale to the general public or industry. Commercial products include items that contain minor modifications to satisfy DoD requirements that do not significantly alter the non-Governmental function or essential physical characteristics of the item. They include items which, because of technological or performance advances, will be available in the commercial marketplace.

AP1.10. Committee. A generic term for a body formally established by NATO, the Australian British Canadian and American Armies, the Air Standards Coordinating Committee, or other multi-national treaty standardization organization to develop ISAs in a defined area of responsibility, and direct and monitor development of appropriate ISAs by its subordinate groups or Working Parties. NATO Military Agency for Standardization (MAS) and NATO Conference of National Armament Directors (CNAD) groups are examples of Committees.



AP1.11. Commonality. A quality which applies to materiel or systems possessing like and interchangeable characteristics enabling each to be used, operated, or maintained by personnel without additional specialized training. The term also applies to consumable items that are interchangeable without adjustment.

AP1.12. Compatibility. The ability of two or more items or systems to exist or function as elements of a larger system without mutual interference.

AP1.13. Consolidated Comments. Comments submitted by a Custodian that reflect a Department or an Agency position. The process of consolidation involves resolving comments so that there is a single position.

AP1.14. Coordinated Standardization Documents. Documents issued to cover items or services required by more than one Military Department, Defense Agency, or civilian agency and which are coordinated with various activities of the interested departments and agencies.

AP1.15. Coordination. The process of having standardization documents reviewed and commented on by Government and private sector organizations.

AP1.16. Custodian. The activity responsible for resolving and consolidating coordination comments for standardization documents or studies in its Department or Agency, and submitting those comments to the Preparing Activity.

AP1.17. Data Item Description (DID). A completed form that defines the data required of a contractor. DIDs specifically define the data content, preparation instructions, format, and intended use. MIL-STD-963 (reference (q)) covers the content and format for DIDs.

AP1.18. Defense Handbook. A guidance document containing standard procedural, technical, engineering, or design information about the materiel, processes, practices, and methods covered by the DSP. MIL-STD-962 (reference (o)) covers the content and format for defense handbooks.

AP1.19. Defense Specification. A document that describes the essential technical requirements for purchased materiel that is military unique or substantially modified commercial items. MIL-STD-961 (reference (n)) covers the content and format for defense specifications.

AP1.20. Defense Standard. A document that establishes uniform engineering and technical requirements for military-unique or substantially modified commercial processes, procedures, practices, and methods. There are five types of defense standards: interface standards, design criteria standards, manufacturing process standards, standard practices, and test method standards. Reference (o) covers the content and format for defense standards.

AP1.21. Defense Standardization Council. A Council composed of executive-level representatives from the Military Departments and the Defense Agencies, chaired by the Defense Standardization Executive. The Council provides senior management oversight and direction for implementing the DSP and acquisition reform initiatives related to specifications and standards.

AP1.22. Defense Standardization Executive. The chairperson of the Defense Standardization Council.

AP1.23. Department of Defense Index of Specifications and Standards (DoDISS) (reference (t)). A publication that lists defense and Federal specifications and standards, guide specifications, and defense handbooks, CIDs, adopted NGSs, and other related standardization documents used by the DoD. The DoDISS is a printed subset of information from the ASSIST database.

AP1.24. Departmental Standardization Office (DepSO). A top level office in each Military Department or Defense Agency responsible for managing the Defense Standardization Program and ensuring that its Lead Standardization Activities and Standardization Management Activities properly implement the policies, procedures, and goals of the DSP.

AP1.25. Design Criteria Standard. A standard that establishes military-unique design or functional criteria that must be adhered to in the development or upgrade of systems, subsystems, equipment, assemblies, components, items, or parts.

AP1.26. Detail Specification. A specification that specifies design requirements, such as materials to be used, how a requirement is to be achieved, or how an item is to be fabricated or constructed. A specification that contains both performance and detail requirements is still considered a detail specification.

AP1.27. Distributor. Anyone authorized by the manufacturer to distribute the manufacturer's product. This also includes the distributor authorized by the manufacturer to rebrand and distribute the manufacturer's rebranded product under the distributor's own brand.

AP1.28. Document Management Activity (DMA). A DoD activity authorized by its DepSO to manage and coordinate standardization efforts to ensure the optimal degree of standardization in their activity and to prepare, adopt, coordinate, and review standardization documents.

AP1.29. Engineering Practice Study. An engineering analysis conducted for standardizing practices, such as drafting procedures and methods; codes; engineering terms and terminology; dimensional and functional interchangeability; and basic characteristics of equipment and materials.

AP1.30. Essential Comment. A coordination comment covering requirements or provisions of such importance to the mission of the commenting activity that it must be accepted or reconciled.

AP1.31. Federal Specification. A specification issued or controlled by the GSA for commercial or modified commercial products, which contains requirements or tests too extensive to be suitable for a CID.

AP1.32. Federal Standard. A standard issued or controlled by the GSA that is mandatory for use by all Federal agencies.

AP1.33. Federal Supply Class (FSC). A four-digit coding structure used to group products into logical families for supply management purposes. As used in the standardization program, the four-digit code is used to group standardization documents associated with products into logical families for standardization management purposes. FSCs are shown in the SD-1 (reference (f)).

AP1.34. Federal Supply Group (FSG). A two-digit coding structure used to group related FSCs under logical families for supply management purposes. The first two digits of each FSC represent the related FSG. As used in the standardization program, the two-digit code is used to group standardization documents associated with the FSCs into logical families for standardization management purposes. FSGs are shown in reference (f).

AP1.35. Guide Specification. A document that provides templates of requirements and verification statements that are commonly used in defining types of systems, subsystems, assemblies, or equipment. The specific values and criteria for each requirement must be individually determined and tailored to make the requirements relevant for a specific application. Guide specifications are also known as specification guides.

AP1.36. Implementation. The fulfillment by a nation's Department of Defense or Ministry of Defense of its obligations under an ISA.

AP1.37. Inactive for New Design. A term applied to an existing standardization document for an item no longer approved for use in new designs or equipment. The document can be used for procurements in support of existing designs or equipment.

AP1.38. Integrated Materiel Manager. The materiel manager responsible for the execution of assigned materiel management functions for selected items or the selected FSCs.

AP1.39. Interchangeability. A condition which exists when two or more items possess such functional and physical characteristics as to be equivalent in performance and durability, and are capable of being exchanged one for the other without alteration to the items themselves or to adjoining items, except for adjustment.

AP1.40. Interface. The functional and physical characteristics required to exist at a common boundary or connection between systems or items.

AP1.41. Interface Standard. A standard that specifies the physical, functional, or military operational environment interface characteristics of systems, subsystems, equipment, assemblies, components, items or parts to permit interchangeability, interconnection, interoperability, compatibility, or communications.

AP1.42. Interim Documents. Revisions and amendments issued by a single Military Department, a Defense Agency, or an activity in the DoD Component for coordinated Federal or defense specifications, guide specifications, or defense handbooks to meet a need when time does not permit preparation of a coordinated document.

AP1.43. International Standardization Agreement (ISA). The record of an agreement among several or all of the member nations of a multi-national treaty organization to adopt like or similar military equipment, ammunition, supplies, and stores. The only ISAs covered by these procedures are those used by the acquisition workforce in the acquisition process.

AP1.44. International Standardization Office. An office designated in a Military Department or Defense Agency to serve as an administrative agent and primary advocate of the Military Department's or Defense Agency's participation in international treaty organization standardization efforts. In several Military Departments, there is more than one such office.

AP1.45. International Treaty Organization. Organizations created by treaty with other countries. Examples of such organizations are NATO and ASCC. Non-treaty organizations such as the International Organization for Standardization (ISO) and the International Electro-Technical Committee (IEC) are not included.

AP1.46. Interoperability. The ability of systems or items to provide services to or accept services from other systems or items.

AP1.47. Item Reduction Activity. An activity in a Military Department, a Defense Agency, or a civilian agency responsible for reviewing FSCs or item name codes for reducing, to the highest degree practicable, the number of sizes and kinds of items that are generally similar.

AP1.48. Item Reduction Study. An analysis to identify unneeded items currently in the supply system that involves a technical review of supply items to identify duplicating or overlapping items. It leads to a reduction in a number of similar items.

AP1.49. Item Standardization Codes. The coding structure that identifies items as either "authorized for acquisition" or "not authorized for acquisition."

AP1.50. JAN Brand. The designation "JAN" or "J" is a U.S. Military registered mark of certification; i.e., Patent Registration No. 504,860. The certification mark "JAN" or "J" certifies that the electronic part covered under the registered mark is manufactured in accordance with current applicable Government specifications. The "J" brand is used when the size of the part does not provide adequate space for the "JAN" brand.

AP1.51. Lead Standardization Activity (LSA). A management activity assigned a DoD-wide responsibility for ensuring the optimal degree of standardization in a FSG, FSC, or standardization area. Reference (f) identifies the LSAs.

AP1.52. Limited Coordinated Standardization Documents. Documents issued to cover products or processes required by only one Military Department or Defense Agency, or where immediate acquisition needs do not permit a coordinated document.

AP1.53. Manufacturer. The actual producer that is responsible for the fabrication or assembly of the final product, as defined by the specification.

AP1.54. Manufacturing Process Standard. A standard that states the desired outcome of manufacturing processes or specifies procedures or criteria on how to perform manufacturing processes.

AP1.55. Military Coordinating Activity (MCA). The military activity responsible for coordinating, reconciling, and consolidating military comments for the DoD on a Federal standardization document prepared by a civilian agency.

AP1.56. Military-Unique Requirement. A design, construction, manufacturing, or performance requirement that is peculiar to the military, and cannot be met by a commercial product, process, or practice.

AP1.57. National Codification Bureau Code. A two-digit number indicating the country that originally cataloged an item.

AP1.58. National Delegate. Person who represents the U.S. on an ISA Committee (such as NATO MAS and CNAD groups).

AP1.59. National Qualification Authority (NQA). An authority in each NATO country having product qualification responsibility. In the United States, the NQA is the Preparing Activity of a specification for the particular qualified product.

AP1.60. Nondevelopmental Item (NDI). A generic term that covers materiel available from sources with little or no development effort required by the Government. NDIs include:

AP1.60.1. Items obtained from a domestic or foreign commercial marketplace.

AP1.60.2. Item already developed and in use by the Military Departments, the Defense Agencies, or other Government Agencies.

AP1.60.3. Items already developed by foreign governments that can be supplied in accordance with mutual defense cooperation agreements and Federal and DoD acquisition regulations.

AP1.61. Non-Government Standard (NGS). A national or international standardization document developed by a private sector association, organization, or technical society that plans, develops, establishes, or coordinates standards, specifications, handbooks, or related documents. This term does not include standards of individual companies. Non-Government standards adopted by the DoD are listed in the ASSIST database.

AP1.62. Non-Government Standards Body (NGSB). A private sector association, organization, or technical society that plans, develops, establishes, maintains, or coordinates NGSs.

AP1.63. Office of Primary Responsibility (OPR). Office appointed through the Military Department or Defense Agency chain-of-command in liaison with the National Delegate of a Committee to coordinate the preparation, ratification, and implementation of an ISA.

AP1.64. Overage Document. A standardization document that has not been reviewed for technical currency within a 5-year period and either updated or validated.

AP1.65. Participating Activity. The activity designated by its DepSO to represent the Military Department or Defense Agency in interdepartmental standardization efforts.

AP1.66. Performance Specification. A performance specification states requirements in terms of the required results with criteria for verifying compliance, but without stating the methods for achieving the required results. A performance specification defines the functional requirements for the item, the environment in which it must operate, and interface and interchangeability characteristics.

AP1.67. Preparing Activity. The DoD activity or the civilian agency responsible for the preparation, coordination, issuance, and maintenance of standardization documents.

AP1.68. Primary Inventory Control Activity (PICA). A code indicating the principal supply control activity responsible for establishing and controlling stockage objectives, and for maintaining item accountability for an item of supply.

AP1.69. Producer. The actual manufacturer of parts or materials that are not used as end items, but are processed or incorporated into designed equipment. This term distinguishes a producer from an equipment manufacturer who uses the parts and materials in his or her equipment.

AP1.70. Product. Includes materials, parts, components, subassemblies, assemblies, and equipments. The term "product" also encompasses a family of products. A family of products is defined as "all products of the same classification, design, construction, material, type, and other design characteristics produced with the same production facilities, processes, and quality of material, under the same management and quality controls, but having the acceptable variety of physical and functional characteristics defined and specified in the applicable specification."

AP1.71. Product Description. A generic term for documents used for acquisition and management purposes, such as specifications, standards, CIDs, NGSs, or purchase descriptions.

AP1.72. Program-Unique Document. A specification that describes a product, process, or material developed and produced for use under a specific program or as part of a single system, which has no application outside of that system.

AP1.73. Purchase Description. A product description prepared for one-time use, for small purchases, or when development of a standardization document is not cost effective.

AP1.74. Qualification. A process in advance of, and independent of, an acquisition by which a manufacturer's capabilities or a manufacturer's or distributor's products are examined, tested, and approved to be in conformance with specification requirements, and subsequent approval for or listing of products on a qualified products list (QPL) or manufacturers on a qualified manufacturers list (QML).

AP1.75. Qualified Manufacturers List (QML). A list of manufacturers' facilities that have been evaluated and determined to be acceptable based on the testing and approval of a sample specimen and conformance to the applicable specification. The QML includes appropriate products, processes, or technology identification, and test reference with the name and address of the manufacturer's plant.

AP1.76. Qualified Product. A product that has been examined, tested, and listed in, or approved for listing on, the applicable QPL.

AP1.77. Qualified Products List (QPL). A list of products that have met the qualification requirements stated in the applicable specification, including appropriate product identification and test or qualification reference with the name and plant address of the manufacturer and distributor, as applicable.

AP1.78. Qualifying Activity. An activity that is either the Preparing Activity or Adopting Activity of the specification or its designated agent, as specified in the specification or as directed by the NQA.

AP1.79. Ratification. The declaration by which a nation formally accepts, with or without reservation, the content of an ISA.

AP1.80. Ratifying Official. The official who actually signs the memorandum or letter ratifying an ISA.

AP1.81. Reservation. The stated qualification by a nation describing the part of an ISA which it will not implement or will implement only with limitations. For the U.S., reservations can be applicable to one Military Department or Defense Agency or the entire U.S. military.

AP1.82. Review Activity. A Standardization Management Activity having a technical or procurement interest in a standardization document, thus requiring a review of all proposed actions affecting it.

AP1.83. Specification. A document prepared to support acquisition that describes the essential technical requirements for purchased materiel and the criteria for determining whether those requirements are met.

AP1.84. Specification Guide. (See Guide Specification.)

AP1.85. Standard. A document that establishes uniform engineering or technical criteria, methods, processes and practices.

AP1.86. Standard Practice. A standard that specifies procedures on how to conduct certain non-manufacturing functions. Standard practices are developed for functions that, at least some of the time, are obtained via contractor from private sector firms.

AP1.87. Standardization. The process of developing and agreeing on (by consensus or decision) uniform engineering criteria for products, processes, practices, and methods for achieving compatibility, interoperability, interchangeability, or commonality of materiel.

AP1.88. Standardization Areas. Standardization categories for engineering technologies, disciplines, and practices that do not fall under a FSC or a FSG. The SD-1 (reference (f)) identifies the standardization areas.

AP1.89. "Standardization Directory" (SD-1) (reference (f)). A publication that identifies standardization responsibility assignments by FSCs, FSGs, and standardization areas. It also includes addresses, telephone numbers, and points-of-contact for the military offices, civilian agencies, and non-Government standards bodies participating in the DSP. The information in the SD-1 is extracted from the ASSIST database.

AP1.90. Standardization Document. A generic term for a document used to standardize an item of supply, process, procedure, method, data, practice, or engineering approach. Standardization documents include defense specifications, standards, and handbooks Federal specifications and standards; guide specifications; CIDs; and NGSS.

AP1.91. Standardization Executives. The Senior Executives appointed by the Military Departments and Defense Agencies to participate on the Defense Standardization Council. The Standardization Executives provide senior management oversight and direction for the Defense Standardization Program, support the acquisition reform initiatives, and direct implementation of the military specifications and standards reform efforts within their respective Military Departments or Defense Agencies.

AP1.92. Standardization Management Activity (SMA). A generic term to describe any DoD activity listed in reference (f) that functions as a LSA, Participating Activity, DMA, or IRA.

AP1.93. Standardization Project. A standardization effort approved by the cognizant LSA to develop, update, cancel, or adopt a standardization document, or conduct an item reduction study or an engineering practice study.

AP1.94. "Status of Standardization Projects" (SD-4) (reference (m)). A report containing information on standardization projects. The SD-4 information is extracted from the ASSIST database.

AP1.95. Suggested Comment. A coordination comment covering changes considered desirable, but not essential. Comments on format, grammar, and punctuation are usually suggested comments. Noncritical technical comments may also be suggested comments. Comments not supported by rationale are treated as suggested comments.

AP1.96. Superseded Document. A document that is replaced by another document or a revision to the existing document. A superseded document is not canceled, unless a specific notice of cancellation has been issued.



AP1.97. Supplier. Final source of a product to customer that may be identified as a distributor, manufacturer, or other entity.

AP1.98. Tailoring. The process by which individual requirements (sections, paragraphs, or sentences) of the selected specifications, standards, and related documents are evaluated to determine the extent to which they are most suitable for a specific system and equipment acquisition, and the modification of these requirements to ensure that each achieves an optimal balance between operational needs and cost.

AP1.99. Test Method Standard. A standard that specifies procedures or criteria for measuring, identifying, or evaluating qualities, characteristics, and properties of a product or process.

AP1.100. Testing Laboratory. A laboratory having facilities to perform examination and testing. That laboratory may be one of the following:

AP1.100.1. A laboratory operated by or under contract to the Government.

AP1.100.2. A laboratory used by the manufacturer or distributor either in-plant or under contract.

AP1.101. Users. Customers of the DSP, which include Government and industry program managers, engineers, logisticians, repair and maintenance personnel, and anyone else who may use the specifications, standards, and other related documents produced under the DSP.

AP1.102. Validation. The process a Preparing Activity uses to determine that an overage document is still required, meets the users' needs, continues to reflect accurate and current requirements, and meets the policies of the DSP.

AP1.103. Working Party. A generic term for a body established by a Committee to work in a particular subject area for the purpose of developing ISAs or other matters of concern to the Committee.

## AP2. APPENDIX 2

### QUALIFICATION

#### AP2.1. GENERAL

This Appendix provides procedures for the establishment and maintenance of the qualification program, and the associated QPLs and QMLs. This Appendix implements 10 U.S.C. 2319 (reference (u)). It must be applied consistent with that statute and with subpart 9.2 of the FAR (reference (j)). Figure AP2-F1. shows the general DoD qualification process.

AP2.1.1. Responsibility for Qualification. The Preparing Activity for a specification is the Qualifying Activity and is responsible for qualification. The Preparing Activity can have an agent maintain the document, administer the qualification program, or perform other essential requirements. The requirement for qualification shall be specified in the applicable Federal or defense specification or an adopted NGS at the time of initial document promulgation. Adopted NGSs are assigned to an Adopting Activity, and hereinafter, the term "Preparing Activity" shall also mean the "Adopting Activity."

AP2.1.2. Purpose of Qualification. The purpose of qualification is to provide for the completion of long or highly complex evaluations and tests prior to and independent of any acquisition or contract. Qualification comprises the entire process by which a manufacturer's products (as shown on QPLs) or processes and materials (as shown on QMLs) are proven to be in conformance with the requirements set forth in the governing specification. The qualification program reduces acquisition costs by reducing or eliminating repetitive surveillance audits, first article tests, or qualification tests for each individual product procurement and contract. Qualification also reduces unit product costs and improves readiness through ensured continuous availability of products with requisite quality, reliability, performance, and safety. As evidence that products or processes and materials meet the specified specification requirements, they shall be listed, as follows:

AP2.1.2.1. QPL. A QPL focuses on qualifying individual products or families of products. As evidence that those product(s) meet the established qualification requirements, the product(s) shall be listed on a QPL. A QPL will normally be appropriate for items of supply that are stable and will be continually available for an extended period of time, thereby making it practicable to qualify individual product(s) without incurring prohibitive testing costs.

AP2.1.2.2. QML. A QML focuses on qualifying an envelope of materials and processes rather than individual product(s). That envelope is qualified by carefully selecting representative worst case test vehicles or representative samples from production that contain all potential combinations of materials and processes that may be subsequently used during production. As evidence that those processes and materials meet the established qualification requirements, the envelope of processes and materials shall be listed on a QML. A QML will normally be appropriate for items of supply that have very rapid technological advancement or a myriad of variations or custom designs that make individual product qualification impractical or excessively expensive.

## AP2.2. DETERMINE THE NEED FOR QUALIFICATION

AP2.2.1. Justification. Prior to inclusion in the applicable specification, the Preparing Activity shall justify in writing the necessity for establishing a requirement for qualification and must specify why the qualification requirement must be demonstrated before contract award. The following situations are the only ones that shall be used to justify the qualification requirement:

AP2.2.1.1. The time required to conduct those tests identified in the applicable specification as exclusive to qualification exceeds 30 days (720 hours). It must be demonstrated that such extensive testing would delay delivery to the Government. The inclusion of those same tests in quality conformance inspection normally conducted during the production process is evidence that this justification is not applicable. List the tests, which if required for product acceptance, would delay product delivery. Show time required to perform each test. Do not list any tests that individually do not require sufficient time under ideal conditions to cause undue delay, unless such tests comprise a required sequence of several tests.

AP2.2.1.2. Qualification tests require special equipment not commonly available. "Not commonly available" must be supported by a statement such as "equipment required is available only at a Government facility located at \_\_\_\_\_." List the specific test equipment(s) not commonly available and describe briefly why not commonly available.

AP2.2.1.3. Qualification tests for survival or emergency life-saving equipment. The justification must include the hazardous consequence or potential life threat of not performing tests as qualification tests.

AP2.2.1.4. The item is designated as safety critical in the Federal Logistics Information System.

AP2.2.2. Restrictions. The Preparing Activity shall not include qualification in a specification:

AP2.2.2.1. For a system or subsystem.

AP2.2.2.2. When only one manufacturer has expressed an interest in qualification.

AP2.2.2.3. When test facilities and resources are not available.

AP2.2.2.4. When the previous editions of a specification did not include a qualification requirement. The Preparing Activity shall submit requests for deviations from this restriction to their DepSO for approval. If the DepSO agrees, the DepSO shall send a copy of their approval along with the specification and supporting justification to DSPO.

AP2.2.2.5. To encourage development of an item.

AP2.2.2.6. To discourage possible sources of supply.

AP2.2.2.7. When the estimated cost of test and evaluation can not be documented.

### AP2.3. APPROVAL OF QUALIFICATION

Before coordination, the Preparing Activity shall submit requests for the inclusion of qualification in new specifications and the addition of qualification as a new requirement to an existing specification to its DepSO for approval. If the DepSO agrees, the DepSO shall send a copy of their approval along with the specification and supporting justification to DSPO. As a minimum, the requests for qualification shall include the following:

AP2.3.1. Intended use of product.

AP2.3.2. Applicable justification from subsection AP2.2.1., above.

AP2.3.3. The following test data information:

AP2.3.3.1. Availability of test facilities.

AP2.3.3.2. The names and locations of testing facilities (if Government facilities).

AP2.3.3.3. Time required to complete tests (barring sample failures).

AP2.3.3.4. Who will pay for qualification tests.

AP2.3.3.5. Proposed charges to supplier when testing is to be done at a Government facility or contract laboratory.

AP2.3.3.6. Estimated cost of test if testing is to be done at a laboratory not Government-owned or contracted for.

AP2.3.3.7. Estimated cost to supplier for preparing and submitting sample.

AP2.3.3.8. Proposed date for establishment of the listing.

AP2.3.4. The names and addresses of possible suppliers interested in submitting samples for testing.

AP2.3.5. Name of activity or activities that will have inventory control and procurement responsibilities.

AP2.3.6. Estimate of items purchased annually.

### AP2.4. WAIVER OF QUALIFICATION

Only the Preparing Activity may waive the qualification requirement. Further, the Preparing Activity can only waive the qualification requirement without rejustification when it determines that the immediate procurement situation is an emergency (that is, circumstances that are life or mission threatening). If the Preparing Activity waives the qualification requirement, it must send a letter to its DepSO with a copy to DSPO describing that emergency situation. If the Preparing Activity waives qualification for any other reason, it must rejustify the qualification requirement and submit the request to its DepSO for approval. If the DepSO agrees, the DepSO shall send a copy of their approval to the DSPO. Otherwise, the specification must be changed to delete qualification.

## AP2.5. ESTABLISHING A QPL OR QML

### AP2.5.1. Publicity.

AP2.5.1.1. Publication. The Qualifying Activity shall urge manufacturers to submit for qualification those products that can meet specification requirements, so a listing can be established after the issuance of a new specification, or when a revision of the existing specification requires requalification. In an attempt to obtain additional sources, the Qualifying Activity shall publicize (for example, through the *Commerce Business Daily* or via letter to all known potential suppliers) every 6 months, solicitations of interest to potential suppliers on listings that contain products of only one actual manufacturer. The Qualifying Activity shall publicize the intention to establish, reissue, or expand the number of sources on the list.

### AP2.5.1.2. Publication Notification. The Qualifying Activity shall:

AP2.5.1.2.1. Send a notice to the *Commerce Business Daily* for publication in the synopsis of U.S. Government Proposed Procurements Sales and Contract Awards. The notice shall be clearly marked "Qualification Test Information" and shall contain the name or type of product(s); the applicable specification; and the name and address of the activity to be contacted for complete information on qualification under the specification. The synopsis must be in the format specified in subsection 5.207 of the FAR (reference (j)).

AP2.5.1.2.2. Contact companies known to be interested in submitting products for qualification under the applicable specification and companies known to supply the desired type of product. Also, contact related trade associations to promote widespread publicity.

AP2.5.1.3. Additional Public Notice to Industry. The Qualifying Activity shall send notices in the following form to commercial journals and trade publications of the industry concerned, and to all firms or individuals considered to be potential suppliers:

"The (service or command), Department of the (Army, Navy, or Air Force), has announced the intention to establish a QPL (or a QML) for (item under specification). Companies that have a product meeting the requirements of this specification are urged to contact (name and address of activity) for an opportunity to test their products for qualification, since future acquisition awards will be made only for such products that have been tested and approved for inclusion in

the QPL (or the QML). The cutoff date for applying to have products tested for inclusion in the initial issue of the QPL (or the QML) is (date)."

AP2.5.2. Request for Qualification by Manufacturers. The Qualifying Activity shall furnish the applicant all necessary information as soon as possible after the request for qualification has been received. That information shall include the following:

AP2.5.2.1. A copy of the latest issue of the specification.

AP2.5.2.2. A copy of the SD-6 (reference (v)) with a specific request for the information and certification, as contained therein. Reference (v) contains information for applicants about the submission of products for qualification.

AP2.5.2.3. A schedule of charges for qualification testing, if applicable.

AP2.5.2.4. Facilities survey requirements, when applicable (see subsection AP2.5.5., below).

AP2.5.2.5. A statement that no qualification testing shall be authorized until the applicant has been notified in writing that the information required by AP2.5.2.1., AP2.5.2.2., and AP2.5.2.3., above, has been received and determined to be satisfactory.

AP2.5.2.6. Any other information, such as reports.

AP2.5.3. Request for Qualification by an Authorized Distributor. A distributor may be listed on a QPL, but not on a QML. When a distributor wishes to qualify a product carrying its own brand designations, the distributor shall request the manufacturer to certify that the distributor is authorized to rebrand and distribute the product with the distributor's own brand designation. When the authorized distributor is certified to rebrand the part, the original part manufacturer's identification shall be included on the part. If there is not enough space on the part for the authorized distributor's rebrand and the original manufacturer's identification, a code symbol for the original manufacturer shall be used. The original manufacturer's identification or the original manufacturer's code symbol shall allow traceability to the original manufacturer for failure analysis, corrective action, and lot identification. When the authorized distributor furnishes such certification, a sample of the rebranded product shall be requested from the distributor for qualification. The authorized distributor shall not perform qualification examination and testing until the certification requirements stated in the SD-6 (reference (v)) have been met. The Qualifying Activity may extend qualification approval to the rebranded product of the authorized distributor without further test, on certification by the original manufacturer that the rebranded product is the same as the product previously qualified under the original manufacturer's designation. The authorized distributor shall submit to the Qualifying Activity its own brand designation, its name and address, the name and address of the actual manufacturer, and the address of the original plant at which the product was manufactured. Authorization for a distributor to rebrand applies only to products listed on a valid QPL at the time of the rebrand request.

AP2.5.4. Furnishing Products Not Requiring Additional Listings. To be eligible for award of a contract to furnish a qualified product marked with the brand designation of the qualified manufacturer, a supplier must state in its bid the name of the actual manufacturer, the address of the plant where the product was manufactured, the brand designation, and the qualification test reference. Additionally, the supplier must certify that the product being offered to the Government has not been added to or changed in any way by the supplier, and is the product of the manufacturer that is listed on the QPL. Additional listing of the product on the QPL is required only when the product is rebranded with the brand designation of an authorized distributor.

AP2.5.5. Manufacturing Facilities (Plant) Audit (Survey). Facilities audits for product(s) shall be conducted when specified in the specification, and as otherwise necessary to establish and maintain the qualification. Detailed requirements for audits shall be in accordance with the specification. Requirements may include survey of inspection systems, quality and reliability assurance programs, test facilities, processes, materials, production facilities, test capability, incoming inspection, training, and product traceability. The audit shall verify that the manufacturer has an effective self-audit program. If the audit has in its scope proprietary products or processes, that portion of the audit must be performed by, and any access to the proprietary information thereby exposed must be limited to, employees of the Government who have a need to know the information, unless such access is agreed to by the manufacturer. The Government shall handle all proprietary data in a controlled and secure manner to ensure that no unauthorized dissemination occurs. The Government shall maintain qualification data and reports for its records. Proprietary information, commercially sensitive data, or matters relating to national security should be appropriately identified in the report as "restricted for release." Such identification notifies the Government of information requiring protection from release to other sources. Any request for such information by non-Government sources shall not be accommodated, unless the Government determines that such information was either incorrectly restricted by the contractor or is already available to the public. The Government shall not release data as restricted by the manufacturer until the manufacturer furnishing the information is notified and has the opportunity to object to the release. If the manufacturer objects, the qualification data will only be released as required by the Freedom of Information Act, 5 U.S.C. 552 (reference (w)).

AP2.5.6. Testing. The testing of products and placing of qualified products or processes on the list shall be done on an equitable basis so as to achieve economy for the Government and fair treatment for all manufacturers with the capability to meet the performance, quality, and reliability requirements specified in the specification. The Qualifying Activity shall not:

AP2.5.6.1. Authorize qualification examination and testing until an approved and dated specification is available.

AP2.5.6.2. Use a specification containing a qualification requirement until the completion of qualification tests has resulted in approved products or manufacturers, except in an emergency (defined as a "life- or mission-threatening situation").

AP2.5.6.3. Use test data collected outside the purview of qualification tests (for example, first article test data) as the basis for qualification approval, except in an emergency as determined by the Preparing Activity (defined as a "life- or mission-threatening situation").

AP2.5.7. Extension of Qualification. Except as provided herein, qualification shall apply only to the product, process, or material that is manufactured at the plant that produced, examined, and tested the sample. The Qualifying Activity may extend qualification to the same product or family of products produced by the same or other plants of the manufacturer, when the following conditions exist:

AP2.5.7.1. Examination or test of the product of other manufacturing plants shows that the product is at least equal in all aspects to the initial qualified product test sample.

AP2.5.7.2. That the quality control and processing at the other manufacturing plants are such that the products produced there are at least equal in all aspects to the qualified product. Ordinarily, this determination will be based on inspection of the plant, quality control system, and processing procedures. If a facility or product line, or both, come under new ownership and management, the Qualifying Activity must evaluate the equivalence of the product or process and quality control systems to ensure that the product or process is unchanged and that the new ownership and management have the expertise and capability to provide products of requisite quality, reliability, and safety. The Qualifying Activity shall document the evaluation and retain it in the permanent file.

AP2.5.8. Notification of Test Results. The Qualifying Activity shall notify the manufacturer about the results of the evaluation of the tests of its products or sample test specimen, and whether the product or process(es) qualify under the requirements of the applicable specification. The Qualifying Activity shall promptly notify the manufacturer when a product or process(es) fails qualification and furnish specific reasons why the testing was not approved. When a product is qualified, a letter of notification shall be furnished to each Custodian of the specification; to the authorized distributor if they are the applicant; and to the GSA, if a Federal specification is involved. The letter of notification shall include:

AP2.5.8.1. The listing as it will appear on the QPL or the QML containing the following information:

AP2.5.8.1.1. Government designation under which the product qualified (type, class, or other designation, as shown on the specification). See figures AP2-F2. through AP2-F5.

AP2.5.8.1.2. The applicant's brand designation for the specific product, family of products, or processes.

AP2.5.8.1.3. The test or qualification reference (test report number) assigned to the products or sample test specimen.



AP2.5.8.1.4. The complete address to which correspondence shall be sent and the complete address of the plant that manufactured the product, family of products, or test specimen, submitted for test.

AP2.5.8.1.5. The commercial and Government entity (CAGE) code, as applicable (see figure AP2-F6.).

AP2.5.8.2. The following conditions:

AP2.5.8.2.1. Such listing does not guarantee acceptance of the product in any future purchase.

AP2.5.8.2.2. Such listing does not constitute a waiver of any requirements of the specification or of the provisions of any contract.

AP2.5.8.2.3. Any use of such listing for publicity, advertising, or sales shall not state or imply that the product or the process(es) is the only one of that type so qualified, or that the Government in any way recommends or endorses the manufacturer's product in preference to other qualified products. Violation is cause for removal of the product or the process(es) from the list by the Qualifying Activity.

AP2.5.8.2.4. The listing applies only to products or process(es) produced in the plant specified in the letter of notification and is effective at 8:00 a.m. (local time of the Qualifying Activity) as of the date of the letter of notification.

AP2.5.8.2.5. Such listing applies to amendments or revisions of the specification, unless otherwise notified.

AP2.5.8.2.6. Such listing applies only to products or process(es) identical to those qualified or to products defined in the family of products granted qualification coverage. The Qualifying Activity must be advised in advance of any intended change to the product or process(es) and must be provided with a complete description of the change. Failure to notify the Qualifying Activity of any change is cause for removal from the listing regardless of the extent of the change.

AP2.5.8.2.7. Manufacturers must comply with a requirement for retention of qualification to retain the listing. Failure to comply shall be sufficient cause for removal from the listing.

#### AP2.6. DEVELOPMENT OF A QPL OR QML

AP2.6.1. General. Preparing Activities shall prepare, maintain, and cancel QPLs and QMLs, when required, in consonance with their responsibilities for specifications under the procedures established in this Appendix. An approved and dated defense or Federal specification or an adopted NGS for which inclusion of qualification requirements has been approved must exist to establish a QPL or a QML.

AP2.6.2. Purpose. The purpose of a QPL or a QML is to allow the manufacturer to provide, and the purchaser to obtain, satisfactory precontractual evidence that a product or a family of products have been tested and have met the requirements of the applicable specification. The intent of the list is to do the following:

AP2.6.2.1. Obtain products of requisite performance quality and reliability by applying special techniques including testing of actual products or representative sample specimens using specific technology processes and materials that will be used in subsequent products or applying special criteria including testing of a product for compliance with the specification.

AP2.6.2.2. Establish and standardize the requirements for evidence of manufacturer's capability in advance of acquisition.

AP2.6.2.3. Reduce acquisition lead time.

AP2.6.2.4. Reduce test costs by eliminating the need for repetitive first article testing, and minimizing redundant, long, expensive test requirements and tests.

AP2.6.2.5. Provide an additional tool for optimizing the relationship between engineering risk and quality assurance cost.

AP2.6.2.6. Improve readiness through ensured continuous availability of quality and reliable products from viable suppliers.

AP2.6.2.7. Establish a long-term relationship with the supplier to ensure continuous conformance to requirements and continuous product quality improvements.

AP2.6.3. Significance of Listing. Inclusion of a product or a manufacturer on a QPL or a QML:

AP2.6.3.1. Does not in any way relieve the supplier of its contractual obligation to deliver items meeting all specification requirements.

AP2.6.3.2. Does not guarantee acceptability under a contract since the items must conform to all contractually specified requirements.

AP2.6.3.3. Does not constitute a waiver of any requirements for either in-process or other inspection or for the maintenance of quality control measures satisfactory to the Government.

AP2.6.3.4. Does not in any way relieve the original equipment manufacturer of its contractual obligations to ensure that delivered items comply with all specification requirements.

AP2.6.4. Issuance. A QPL or a QML shall be issued as soon as practicable after promulgation of a specification. Not more than 30 days may elapse between the determination

by the Qualifying Activity that a supplier's product has successfully passed all qualification tests and the transmission of the new QPL or QML or revision notice to the DoDSSP for printing and distribution. QPLs and QMLs are processed for reproduction and distribution in the same manner as the basic specification.

AP2.6.5. Product Coverage. When a specification with qualification provisions describes more than one type, class, grade, process, material, or other designations, all products or processes qualifying shall be on a single QPL or QML. Separate QPLs or QMLs shall not be established based on specification sheets or detailed specifications that are associated with a general specification. The list shall identify the qualified products by type, class, grade, process, material, or other designation shown in the specification.

## AP2.7. MAINTENANCE OF A QPL OR QML

AP2.7.1. Manufacturer's Obligations. The manufacturer shall:

AP2.7.1.1. Maintain adequate process and quality control procedures to ensure that the items continually comply with all specification requirements.

AP2.7.1.2. Report immediately any discrepancies disclosed during testing, periodic reexamination of its product and production process and controls to the Qualifying Activity.

AP2.7.1.3. Ensure that delivered items conform to all requirements including performance, quality, reliability, and all other specified product characteristics.

AP2.7.2. Manufacturer's Advertising. A manufacturer may advertise that a qualified product has received DoD qualification, if the manufacturer does not state or imply in its advertisement that the product is the only one of that type so qualified or that the DoD in any way recommends or endorses the manufacturer's product in preference to the other qualified products. A manufacturer can not advertise or imply that its products are qualified or meet a specification that requires qualification unless they are in fact qualified and either listed or approved for listing on the applicable QPL or QML. Violation shall be cause for removal of the product or the manufacturer from the applicable list by the Qualifying Activity and possible suspension, debarment, or referral for criminal investigation.

AP2.7.3. User Obligations. Users of the list shall take necessary measures (other than initial or periodic requalification) to ensure that the qualified products comply with the applicable specification requirements. In support of the qualification program, the buying activity for a qualified product is required to, and users of the list are encouraged to:

AP2.7.3.1. Promptly report to the Qualifying Activity and to the manufacturer any known or suspected nonconformance of qualified products.

AP2.7.3.2. Voluntarily submit to the Qualifying Activity periodic summaries of receiving inspection and in-plant quality control monitoring results that reveal adverse quality and reliability trends of qualified products.

AP2.7.3.3. Provide feedback data to the Qualifying Activity and to the manufacturer to support the total quality management concept for continuous improvement of the process based on field information.

AP2.7.4. Government Obligations. Government surveillance conducted by the Qualifying Activity or the Government quality assurance representatives does not relieve the manufacturer, authorized distributor, or the user of the list of the responsibility to exercise adequate process and product quality control procedures. The Qualifying Activity shall serve as the DoD focal point to consolidate findings and recommend corrective action for qualification problems. While the following will expedite problem resolution through the use of a technical focal point, the Government shall not knowingly accept material that contains suspected nonconforming parts. Depending on the gravity of the problem, contract administration activities may withhold acceptance of suspected end items pending problem resolution or verification of the contractor's compliance of material, products, and services to contract requirements. Use the detailed procedure in subsection AP2.7.5., below, for reporting nonconformance. The Qualifying Activity shall:

AP2.7.4.1. Notify Agencies responsible for acceptance of end item equipment that may contain possible nonconforming parts. Advise them of the nature and degree of risk and urgency in the situation, and if necessary, call a meeting to discuss the problem.

AP2.7.4.2. Indicate the action taken with the supplier or determine the action required.

AP2.7.4.3. Disseminate information immediately including potential operation problems if items are built into equipment.

AP2.7.4.4. If necessary, establish a task force to investigate the problem and develop a recommended solution; and disseminate the knowledge gained to the appropriate Government and industry parties affected by the action. Recommendations should include sufficient engineering data so that decisions can be made concerning the identity and possible use of nonconforming items, for example, disposition of equipment containing potentially defective items.

AP2.7.5. Government Obligations for Nonconforming Items. The following actions shall occur when the possibility of nonconforming items is suspected regarding a qualified part:

AP2.7.5.1. The activity that discovers or receives a report of a potential problem will notify the Qualifying Activity.

AP2.7.5.2. The Qualifying Activity shall conduct a preliminary evaluation and risk assessment of the problem, and impose a stop shipment on all suspect products if necessary to limit the magnitude of the problem while determination and corrective actions are being made.

AP2.7.5.3. The Qualifying Activity shall notify the DSPO, the appropriate quality and procurement offices, the DepSOs, the other Government agencies, and the industry associations

about the possible nonconformance (technical problem or specific violation) affecting field usage.

AP2.7.5.4. The Qualifying Activity shall initiate a product stop shipment order or corrective action plan (as applicable) and initiate removal of parts or manufacturers from the QPL or the QML, in accordance with subsection AP2.8.1., below.

AP2.7.5.5. The Qualifying Activity shall instruct manufacturers to prepare and coordinate issuance of a Government Industry Data Exchange Program (GIDEP) ALERT or Problem Advisory. The Qualifying Activity should prepare and issue the GIDEP ALERT or Problem Advisory when the manufacturer is reluctant or slow in doing so. The Qualifying Activity should use GIDEP actions or Agency notices to notify part users of the problem.

AP2.7.5.6. The Qualifying Activity shall have the manufacturer conduct a self-audit to identify the problem areas and shall have the manufacturer prepare a corrective action plan.

AP2.7.5.7. The Qualifying Activity shall gather independent testing information and prepare verification action.

AP2.7.6. Government's Obligations on Availability of Data. Except as required by the Freedom of Information Act, 5 U.S.C. 552 (reference (w)), the Government shall not distribute qualification data unless the Qualifying Activity obtains the consent of the manufacturer, determines that the release is in the best interest of the Government, and follows the current security policies. Once release is approved, the Qualifying Activity may:

AP2.7.6.1. Supply the data to other activities of the Government.

AP2.7.6.2. Supply the data to foreign Governments that are purchasing, operating, or maintaining supplies that involve products covered by specifications requiring qualification. Such release shall be made with the condition that the information will not be further distributed, but will be used only for furnishing supplies and services to that Government.

AP2.7.6.3. Authorize the supplier to furnish qualification information for qualified products sold to foreign Governments after clearance with the appropriate export control authority.

AP2.7.7. Review of Qualification Requirement. The Preparing Activity shall review specifications having the requirement for qualification every 2 years to determine the need to continue the qualification requirement. In this review, the Preparing Activity shall consider whether more definitive requirements for the product, advances in manufacturing techniques and quality control methods, or improvements in testing apparatus and techniques may have eliminated the need for qualification (see subsection AP2.2.1., above).

AP2.7.8. Retention of Qualification. To retain qualification approval of products, one of the following actions is required:

AP2.7.8.1. Certification by the manufacturer.

AP2.7.8.2. Periodic submission of new test data as may be required in the specification.

AP2.7.8.3. Complete requalification testing, as may be required in the specification or by the Qualifying Activity.

AP2.7.9. Certification of Qualification Status. At the time of the 2 year review, the Preparing Activity shall send a DD Form 1718, "Certification of Qualified Products," to a manufacturer when the applicable specification does not contain a retention of qualification requirement and request that the manufacturer complete the form. The manufacturer's products will be removed from the listing if the certification is not returned after due notice. The Preparing Activity shall reprint the list on completion of the certification review showing the date of validation. A responsible official of management must sign the form. The form requests information such as whether:

AP2.7.9.1. The listed product(s) is still manufactured at the plant(s) as shown on the listing.

AP2.7.9.2. The plant(s) is still under the same management.

AP2.7.9.3. The product(s) is being manufactured under the same conditions as originally qualified, with the same process, materials, construction, design, and manufacturer's part number of designation.

AP2.7.9.4. The product(s) meets the requirements and tests of the latest issue of the specification.

AP2.7.9.5. Any product change was made after the date the product was qualified. Unapproved product changes require justification and supporting data as to why the change will not affect the qualification status of the product.

AP2.7.10. Reexamination and Retest. The Qualifying Activity shall determine, based on the extent of specification or product changes and other available data, whether products need to be removed from the QPL or the QML until retested, or whether such action can be delayed pending the outcome of the tests or receipt of additional data. If the Qualifying Activity determines that the product should remain on the QPL or the QML, the Qualifying Activity shall establish a maximum time limit for submission of the samples or test data before removal. The Qualifying Activity shall require the reexamination of a qualified product under any of the following conditions:

AP2.7.10.1. The manufacturer has modified the product or changed the material or processing so that the validity of previous qualification is questionable.

AP2.7.10.2. The requirements in the specification have been revised to affect the characteristics of the product.

AP2.7.10.3. When, as a result of questionable performance reports, it is deemed necessary to determine that the product continues to meet all the specification requirements.

AP2.7.10.4. When required by retention of qualification requirements in the specification.

AP2.7.11. Limitations on Specifications for Which No Listing Has Been Issued. During the 2-year review, the Preparing Activity shall identify specifications (including specification sheets) having a qualification requirement for which no product has been qualified and determine whether any products are being tested for qualification. If not, the Preparing Activity shall take one of the following actions:

AP2.7.11.1. Revise the specification to eliminate the qualification requirement.

AP2.7.11.2. Cancel the specification, if the product is not needed.

AP2.7.12. Limitations on Specifications Having a List That Includes the Product of Only One Source. During the 2-year review, the Preparing Activity shall identify specifications (including specifications sheets) having a QPL or a QML that lists single-source conditions (that is, a style, class, part number, dash number listed with only one source). The Preparing Activity shall take one of the following actions:

AP2.7.12.1. Modify the specification requirements so as to permit the qualification of available products suitable for equivalent applications and acceptable to the current users of the list.

AP2.7.12.2. Revise the specification to eliminate the qualification requirement.

AP2.7.12.3. Provide rationale to explain why the specification should remain as is and the qualification should continue. Also describe the single source situation and indicate those actions already taken and planned to correct the situation. Provide the information to the DSPO with a copy to the applicable LSA and DepSO.

AP2.7.13. Revisions and Amendments. QPL or QML changes shall be made by revision or amendment, as applicable. A revision is a new complete list and shall be issued when the proposed changes are numerous. When the QPL or the QML consists of only one sheet, changes shall be by a revision rather than amendment. An amendment is a supplemental document containing only the changes required to the existing list, whether corrections, deletions, or additions. Amendments shall be cumulative; that is, successive amendments shall be written so that each shall contain all the information and thus supersede the preceding amendment in its entirety.

AP2.7.14. Cancellation. The Preparing Activity shall cancel a QPL or a QML by separate notice when the associated specification has been canceled or revised to delete qualification.

The QPL or the QML shall also be canceled when it is determined to be no longer valid under requirements of the revised specification.

AP2.7.15. Inactive for New Design. When a specification is declared "Inactive for New Design," the QPL or the QML applicable to the specification shall not be canceled (except under determination that it is not needed), but shall be maintained and revised to be identified as "Inactive for New Design."

#### AP2.8. REMOVAL FROM A LISTING

AP2.8.1. Reasons for Removal. When a manufacturer or authorized distributor fails to comply or demonstrates an inability to comply with specification requirements, it may be necessary to take one or more of several actions. First, the Qualifying Activity shall remove the product(s) from a QPL or remove applicable process(es) from a QML. Removal could include a broad range of directly or indirectly affected products, possibly the manufacturer's entire family of qualified products. Second, the Qualifying Activity shall remove the manufacturer's certification or impose stop shipment or suspensions (when applicable under the specification.) The Qualifying Activity may remove a product, a manufacturer, or a process; decertify a manufacturer; or stop shipment, when such action is necessary to protect both the Government's interest and the interest of the users of the QPL or the QML. The following reasons illustrate the circumstances under which adverse actions or removal might be warranted:

AP2.8.1.1. The product or process offered under contract does not meet the requirements of the specification.

AP2.8.1.2. The manufacturer has discontinued manufacture of the product, or has changed design, materials, or processes to such an extent that the product no longer meets the requirements of the specification.

AP2.8.1.3. The manufacturer or authorized distributor requests that they or their product or their process(es) be removed from the list.

AP2.8.1.4. One or more of the conditions under which qualification was granted (including the JAN branding, J branding, or family of products policies) have been violated.

AP2.8.1.5. The requirements of a revised or amended specification differ sufficiently from the previous issue so that existing test data are no longer applicable for determining compliance of the product or process(es) with the revised or amended specification.

AP2.8.1.6. Failure of a manufacturer to notify the qualifying activity of a change in design, material, manufacturing, process (including quality conformance), or plant location.

AP2.8.1.7. The product is that of a contractor, firm or individual whose name appears on "The Consolidated List of Debarred, Suspended, and Ineligible Contractors."



AP2.8.1.8. The manufacturer has not complied with the retention of qualification requirements.

AP2.8.1.9. The manufacturer has publicized that its qualified product or process(es) is the only one of its type so qualified or that the DoD in any way recommends or endorses that manufacturer's product in preference to the other qualified products.

AP2.8.1.10. The manufacturer, on invitation, has failed or declined to bid on Government contracts for the product for ten consecutive solicitations or for a period of 2-years during which solicitations were issued, whichever is less.

AP2.8.1.11. Quality or reliability problems are detected in a manufacturer's products.

AP2.8.2. Procedures for Removal. The procedures below apply to removal of a product or a family of products from a listing:

AP2.8.2.1. If the decision to remove a product or process from a listing is made for the reasons indicated in subsections AP2.8.1.1., AP2.8.1.4., AP2.8.1.6., AP2.8.1.8., or AP2.8.1.9., above, consideration shall be given to the circumstances which gave rise to that action. The product or process(es) should again be listed on that listing once the deficiencies noted have been corrected to the Government's satisfaction. Factors to be considered in making that determination are the seriousness of the deficiencies noted, the circumstances under which those deficiencies came to light (for example, Government audit or voluntary disclosure), and whether circumstances indicate that such actions were intentional or fraudulently motivated or reflect a repeated or continuing course of conduct.

AP2.8.2.2. When it is decided that a product, family of products, or process(es) is to be removed from a listing, the manufacturer or authorized distributor of the products or process(es) will be sent a written notice (registered, with a return receipt requested) of the action taken, the reasons for removal, and an opportunity to respond to that notice. Unless the notice indicates otherwise, removal of a product, family of products, or process(es) from the listing shall be effective on the date of the notice.

AP2.8.3. Notification of Removal. After the Qualifying Activity determines that a product(s), family of products, a process(es), or a manufacturer will be removed from a QPL or a QML, the Qualifying Activity will send the manufacturer or the authorized distributor a notification of removal. The Qualifying Activity shall amend or revise the list to delete the items without undue delay. If removal is for the reason in paragraph AP2.8.1.5., above, the Qualifying Activity shall advise the manufacturer or authorized distributor of the action required to prove product compliance to the amended or revised specification. The Qualifying Activity shall furnish copies of the notification of removal to interested DoD elements and other Government Agencies.

AP2.8.4. Publication of Removal. When the Qualifying Activity has taken action to effect the removal of a product from a list, the Qualifying Activity shall determine whether it would be in the Government's interest to publish in the *Commerce Business Daily* and known related trade

publications, a notification to Government organizations and contractors that the product has been removed by adverse action. The Qualifying Activity shall publish such notification as soon as practicable. The notification shall include the following information:

AP2.8.4.1. The QPL or the QML identification number.

AP2.8.4.2. A statement that "Notification is herewith given that the following product (for QML, process(es)) was removed from QPL-XXXXX (or QML-XXXXX) on (date)."

AP2.8.4.3. Name of Government Representative.

AP2.8.4.4. Title of Government Representative.

AP2.8.4.5. Name of Government Installation.

AP2.8.4.6. Address of Government Installation.

#### AP2.9. GUIDELINES FOR CHOOSING QPL OR QML

AP2.9.1. QPLs. A QPL is appropriate in situations where technological changes makes it practicable to qualify individual products or family of products without incurring prohibitive testing costs or delays. A QPL should be used when you are only interested in qualifying parts. Products to which qualification has been extended under the family of products concept are to be listed on the appropriate portion of the QPL in the same manner as tested products, except that the manufacturer's designations or type numbers of the successfully tested products on which family qualification has been based shall be listed in the place normally reserved for the test or qualification reference test report number. The QPL shall be prepared, as shown in figures AP2-F2. and AP2-F3. Format requirements for QPLs are specified in section AP2.10., below.

AP2.9.2. QMLs. A QML focuses on approving a manufacturer's capability and then qualifying the envelope by carefully selecting a representative worst case test specimen or worst case samples from production that contain all the potential combinations of materials and processes that may be used in subsequent production. The QML shall include appropriate processes and materials identification, with the name and address of the manufacturer's plant. It may also be advisable to list eligible products that may be produced at that manufacturer's facility or line under that approved envelope of processes and materials. A QML may be appropriate for product lines involving many variations, but the same basic processes and materials. QMLs are appropriate for product lines involving rapid, technological advances that rely on process improvements using variations in materials and processes. Under the QML process, the manufacturing facilities, processes, and materials, and other characteristics are qualified and listed on the QML. Well-documented facility inspection and line certification provisions that are to be used to evaluate a manufacturer's eligibility for listing on the QML must be available. A QML may also be applicable when the product procured to a specification has no identifying industry discrete part numbers; the product is procured to a specification that covers a wide range of technologies; or the product is normally a family of products with similar characteristics. The QML process is used for complex devices, such as custom hybrids, whereby

the qualification cost would be excessive or delays would occur if the QPL part by part qualification procedure were used. Each QML could differ in content depending on the item and the critical process(es) that are important in the development of the item.

#### AP2.10. FORMAT FOR A QPL OR QML

Figures AP2-F2. and AP2-F3. give the QPL format. Figure AP2-F7. gives the QML format. Where necessary, the tabular information may be rearranged. For example, use the method in figure AP2-F5. to list repetitive plant and office addresses for more than one product or category.

AP2.10.1. Identifier and Title. QPLs or QMLs shall be identified by the symbol "QPL" or "QML" followed by the number of the associated specification and an issue number to identify the issue of the QPL or the QML. For example: "QPL-3125-1" identifies the initial issue of the QPL associated with defense specification MIL-P-3125. "QML-38534-1" identifies the initial issue of the QML associated with specification MIL-PRF-38534. When a QPL is converted to a QML, the QML identifier shall begin with the number of the associated specification followed by a "-1" to indicate that this is the first QML associated with the specification even though a QPL previously existed. For Federal specifications, both the specification symbol and number are used. Thus, "QPL-GGG-T-591-2" identifies the second issue of the list associated with Federal specification GGG-T-591. For non-Government specifications, both the specification symbol and number are used. Thus, "QPL-AS604-1" identifies the first issue of the list associated with the Society of Automotive Engineers Aerospace Standard AS604. Do not use the specification revision indicator in the QPL or the QML number. The title of the QPL or the QML must be the same as the title of the general specification.

AP2.10.2. FSC. Identify the applicable FSC to which the qualified product belongs in the lower right-hand corner of the QPL or the QML (see figure AP2-F2.).

AP2.10.3. Preamble. Immediately following the document identifier and title of the associated specification, the following preamble shall appear on each QPL or QML:

"This list has been prepared for use by or for the Government in the acquisition of products covered by the subject specification and such listing of a product is not intended to and does not connote endorsement of the product by the Department of Defense. All products listed herein have been qualified under the requirements for the product as specified in the latest effective issue of the applicable specification. This list is subject to change without notice, revision or amendment of this list will be issued as necessary. The listing of a product does not release or otherwise affect the obligation of the manufacturer to comply with the specification requirements."

"The activity responsible for this QPL (or this QML) is (insert name, office symbol, and address of the standardization office of the Preparing Activity)."

Locate this notice on the QPL (or the QML) as shown on figure AP2-F3. Where the Preparing Activity designates another activity to act as its agent, the list shall include "The activity

designated as agent for all contacts relative to this QPL (or QML) is (insert name, office symbol, and address of the agent)."

AP2.10.4. Validation of QPLs and QMLs. QPLs and QMLs shall show validation information in the upper left-hand corner by inclusion of one of the following, as appropriate:

AP2.10.4.1. Retention by certification.

QUALIFICATIONS CERTIFIED

(MONTH) (YEAR)

Indicate the current validation date on all subsequent issues of the list.

AP2.10.4.2. Retention by submittal of test data.

QUALIFICATIONS HAVE BEEN VALIDATED

(Frequency: See specification)

BY TEST DATA

AP2.10.4.3. Retention by requalification.

ON QPL: ALL LISTED PRODUCTS HAVE BEEN REQUALIFIED

ON QML: ALL LISTED MANUFACTURERS HAVE BEEN RECERTIFIED

(Frequency: See specification)

AP2.10.5. Revisions and Amendments. Identify revisions by the date and an issue number in proper numerical sequence. Thus, the revision of QPL-3125-2 associated with specification MIL-DTL-3125 shall be identified as "QPL-3125-3" (same for the QML). Identify an amendment by appropriate date and the notation "AMENDMENT\_\_\_\_\_(No.)" placed below the document identifier with the number in proper numerical sequence. See figure AP2-F4. The preparation of a revision is appropriate when changes are numerous. When a specification is declared "Inactive for New Design," the list must be revised to contain a note on the first page of the list which states that the specification has been so declared, the effective date, and that the QPL or the QML still applies to the inactive issue for all legal acquisitions other than for use in new designs. Indicate when some, but not all, part numbers or specification sheets are inactive. Enclose the following note in a solid line box:

Effective _____(date), MIL-X-12345A has been declared "Inactive for New Design" and superseded for new design by MIL-PRF-45678. This QPL (or QML), is applicable on all acquisitions to which MIL-X-12345A is applied.
--

AP2.10.6. Notices of Cancellation. Figure AP2-F8. gives the format for a cancellation notice. Besides indicating the specific issue of the QPL or the QML that is canceled, statements similar to the following may be included:

AP2.10.6.1. "The specification covering the product listed has been canceled by a separate notice."

AP2.10.6.2. "Qualification has been deleted from the specification by revision (symbol) or amendment (number), dated \_\_\_\_\_."

When a QPL changes to a QML, the qualifying activity shall prepare a notice to cancel the QPL. The cancellation notice shall include a supersession notice, such as "QPL-19500-143 has been canceled and replaced by QML-19500-1."

## AP2.11. QUALIFICATION RECIPROCITY BETWEEN THE U.S. AND ANOTHER COUNTRY

AP2.11.1. NATO STANAG 4093. Qualification reciprocity between the U.S. and another NATO country shall be governed by NATO STANAG 4093 (reference (x)). The agreement specifies acceptance of another NATO country's specification and corresponding QPL, and acceptance of another NATO country's qualification approval as basis for listing of a product on a country's own QPL or QML. Figure AP2-F9. gives the format for a NATO QPL.

### AP2.11.2. Reciprocity Between the U.S. and a Non-NATO Country.

AP2.11.2.1. Except as otherwise covered by an international agreement, when the DoD accepts another country's qualified-product specification for use in DoD acquisitions, the cognizant U.S. National Qualification Authority (NQA) shall determine the extent to which the U.S. will accept that country's QPL or QML. The NQA responsibility is delegated to the U.S. Preparing Activity for the corresponding U.S. specification. The U.S. NQA shall request a copy of the foreign QPL or QML from that country's NQA. Additional product information may be required, such as a copy of the test data that is the basis for the foreign qualification approval. The data should include descriptions of test procedures, test equipment, methods, dates of calibration and complete test results, computations and analysis, and identification of the testing officials. If review of the data indicates that additional data or testing is necessary to validate compliance with the product specification requirements, the U.S. NQA shall notify the foreign NQA accordingly. The foreign NQA and suppliers listed on the foreign QPL or QML shall be notified that for some use-applications involving critical performance reliability, the DoD reserves the right to require additional tests to be conducted in accordance with U.S. national procedures and regulations. The responsibility for the costs for conducting qualification assessments and additional testing and providing data which exceeds that required in the specification used for the foreign qualification approval shall be a matter for negotiation between the product supplier and the designated U.S. NQA.

AP2.11.2.2. If the U.S. NQA finds cause to remove a manufacturer's product from the country's QPL or QML, the appropriate foreign NQA shall be notified of the action and the reasons for removal.

AP2.11.3. Establishment and Maintenance of Another Country's Qualification Approval by the U.S. Manufacturers and products granted qualification approval by the U.S. under

specifications issued by other NATO countries shall be listed on a QPL or QML maintained by the U.S. NQA.

AP2.11.4. Qualification by Foreign Sources. Foreign sources may apply for qualification to U.S. specifications in the same manner as domestic sources. If an ISA exists, the terms of that agreement apply for reciprocity listings. If a NQA exists within the country of the applicant, all matters pertaining to the qualification shall be processed through that NQA.

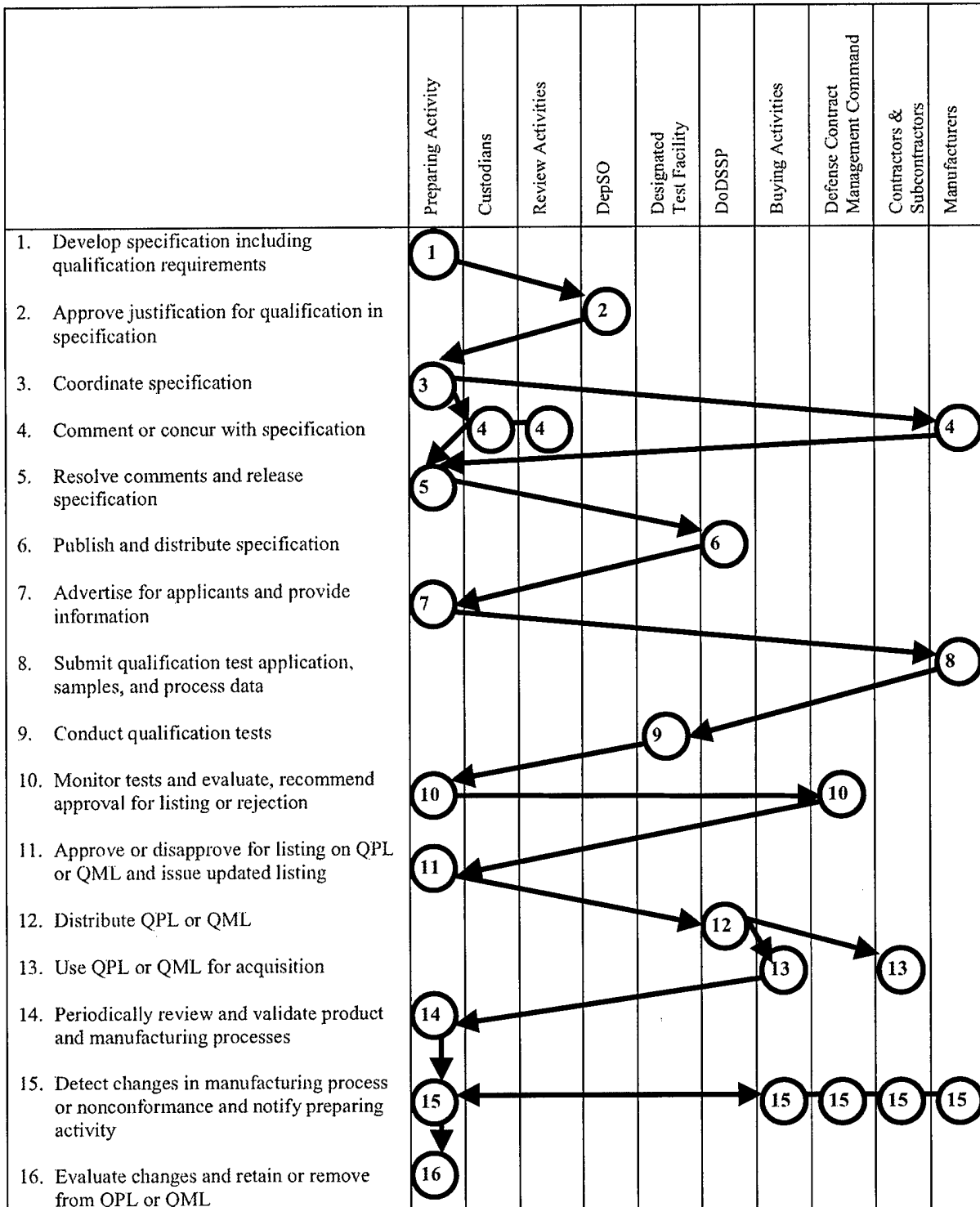


Figure AP2-F1. Qualification Process Management

QUALIFICATIONS CERTIFIED  
MAY 1996

QPL-3134-68  
27 May 1996  
SUPERSEDING  
QPL-3134-67  
13 May 1995

QUALIFIED PRODUCTS LIST  
OF  
PRODUCTS QUALIFIED UNDER DETAIL SPECIFICATION  
MIL-DTL-3134

DECK COVERING MATERIALS

This list has been prepared for use by or for the Government in the acquisition of products covered by the subject specification and such listing of a product is not intended to and does not connote endorsement of the product by the Department of Defense. All products listed herein have qualified under the requirements for the product as specified in the latest effective issue of the applicable specification. This list is subject to change without notice; revision or amendment of this list will be issued as necessary. The listing of a product does not release the contractor from compliance with the specification requirements.

THE ACTIVITY RESPONSIBLE FOR THIS QUALIFIED PRODUCTS LIST IS THE  
NAVAL SEA SYSTEMS COMMAND, SEA 05Q42, DEPARTMENT OF THE NAVY,  
WASHINGTON, DC 20362-5101.

GOVERNMENT DESIGNATION	MANUFACTURER'S DESIGNATION	TEST OF QUALIFICATION REFERENCE	MANUFACTURER'S NAME AND ADDRESS
Type I Class 1	Neocrete Terrazzo #33	Frederick A. Bacon Lab. Rpt. C-2217  NYK Mat. Lab. 6-434 & Service Test USS INGRAHAM (DD 694)	The Ascon Products Co. P.O. Drawer 701 Niantic, CT 06357 Plant: 7 Pennsylvania Ave. Niantic, CT 06357

AMSC N/A

FSC 5610

Figure AP2-F2. Example of a QPL



## QPL-3134-68

GOVERNMENT DESIGNATION	MANUFACTURER'S DESIGNATION	TEST OF QUALIFICATION REFERENCE	MANUFACTURER'S NAME AND ADDRESS
Type I Class 1	DEX-O-TEX N-38 Terrazzo	NYK Mat. Lab. 4336-252	Crossfields Products Corp. 140 Valley Road. Roselle Park, NJ 07204 Plants: 3000 E. Harcourt St. Compton, CA 90221 140 Valley Road Roselle Park, NJ 07204
Type I Class 1	DEX-O-TEX P-61 Terrazzo	Foster D. Snell Inc. Rpt. 10/28/63 SS BRASIL NAVSHIPYD, PUGET Rpt. C-2253-75	Crossfield Products Corp. 140 Valley Road Roselle Park, NJ 07024 Plants: 3000 E. Harcourt St. Compton, CA 90221 140 Valley Road Roselle Park, NJ 07204 4407 Meridian St. Moss Point, MS 39563 5422 Shilshole Ave., N.W. Seattle, WA 98107
Type I Class 1	Monile Roman Terrazzo	MAMECO International Rpt. 221-75 NAVSHIPYD, PUGET Rpt. C-1152-76 Service Test USCGC MACKINAC (WACB-83)	MAMECO International 4475 E. 175th St. Cleveland, OH 44128 Plant: Same Address

Figure AP2-F2. Example of a QPL, continued

QPL-AS604-1  
15 September 1986

QUALIFIED PRODUCTS LIST  
OF  
PRODUCTS QUALIFIED UNDER SAE AEROSPACE STANDARD  
AS604  
HOSE ASSEMBLY, TETRAFLUOROETHYLENE, HIGH-TEMPERATURE  
3000 PSI, HYDRAULIC AND PNEUMATIC, HEAVYWEIGHT (HEAVY BRAID)

This list has been prepared for use by or for the Government in the acquisition of products covered by the subject non-Government standard and such listing of a product is not intended to and does not connote endorsement of the product by the Department of Defense. All products listed herein have been qualified under the requirements for the product as specified in the latest adopted issue of the applicable non-Government standard. This list is subject to change without notice; revision or amendment of this list will be issued as necessary. The listing of a product does not release the supplier from compliance with the non-Government standard requirements.

THE ACTIVITY RESPONSIBLE FOR THIS QUALIFIED PRODUCTS LIST IS THE AIR FORCE ASD/ENES, WRIGHT-PATTERSON AFB, OHIO 45433-6503. THE QUALIFYING ACTIVITY RESPONSIBLE FOR QUALIFICATION APPROVAL IS ASD/ENFEM, WRIGHT-PATTERSON AFB, OHIO 45433-6503.

PREVIOUS GOVERNMENT DESIGNATION	NON- GOVERNMENT STANDARD BODIES DESIGNATION	MANUFACTURER'S DESIGNATION	TEST OR QUALIFICATION REFERENCE	MANUFACTURER'S NAME AND ADDRESS
MS27363E (-04)	AS627-04	AR1411-4	ASD/ENFEM ltrs 30 Aug 77 and 12 Oct 78	Aeroquip Corporation
MS27364E (-04)	AS628-04			Aerospace Division
MS27366E (-04)	AS630E			300 S. East Avenue
MS27367E (-04)	AS631E			Jackson, MI 49203-
MS27368E (-04)	AS632E			1972
MS27369E (-04)	AS621-04			Plants: Jackson Plant Same address Middlesex Plant Middlesex, NC 27557- 0369
MS27370E (-04)	AS622-04			
MS27371E (-04)	AS623-04			
MS27372E (-04)	AS624E			
MS27373E (-04)	AS625E			
MS27374E (-04)	AS626E			

AMSC N/A

FSC 4720

Figure AP2-F3. Example of a QPL for a NGS

QUALIFICATION CERTIFIED  
OCTOBER 1998

QPL-16173-64  
AMENDMENT-1  
31 July 1998

QUALIFIED PRODUCTS LIST  
OF  
PRODUCTS QUALIFIED UNDER PERFORMANCE SPECIFICATION

MIL-PRF-16173

CORROSION PREVENTIVE COMPOUND, SOLVENT CUTBACKS, COLD APPLICATION

This list has been prepared for use by or for the Government in the acquisition of products covered by the subject specification and such listing of a product is not intended to and does not connote endorsement of the product by the Department of Defense. All products listed herein have been qualified under the requirements for the product as specified in the latest effective issue of the applicable specification. This list is subject to change without notice; revision or amendment of this list will be issued as necessary. The listing of a product does not release the contractor from compliance with the specification requirements.

THE ACTIVITY RESPONSIBLE FOR THIS QUALIFIED PRODUCTS LIST IS THE  
NAVAL SEA SYSTEMS COMMAND, SEA 05Q42, DEPARTMENT OF THE NAVY,  
WASHINGTON, DC 20362-5101.

GOVERNMENT DESIGNATION	MANUFACTURER'S DESIGNATION	TEST OF QUALIFICATION REFERENCE	MANUFACTURER'S NAME AND ADDRESS
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THIS AMENDMENT FORMS A PART OF QPL-16173-64 DATED 26 OCTOBER 1983

Page 12:	Add the following product:		
Grade 2	LPS-3	Scientific Material Int. Rpt. 830845	Holt Lloyd Corp 4647 Hugh Howell Rd Tucker, GA 30084 Plant: Same address

AMSC N/A

FSC 8030

Figure AP2-F4. Example of a QPL Amendment

QUALIFICATION CERTIFIED  
MARCH 1998

QPL-7032-26  
31 March 1978  
SUPERSEDING  
QPL-7032-25  
17 October 1977

QUALIFIED PRODUCTS LIST  
OF  
PRODUCTS QUALIFIED UNDER DETAIL SPECIFICATION

MIL-DTL-7032

INVERTER, AIRCRAFT, GENERAL SPECIFICATION FOR

This list has been prepared for use by or for the Government in the acquisition of products covered by the subject specification and such listing of a product is not intended to and does not connote endorsement of the product by the Department of Defense. All products listed herein have been qualified under the requirements for the product as specified in the latest effective issue of the applicable specification. This list is subject to change without notice; revision or amendment of this list will be issued as necessary. The listing of a product does not release the supplier from compliance with the specification requirements.

THE ACTIVITY RESPONSIBLE FOR THIS QUALIFIED PRODUCTS LIST IS THE  
NAVAL AIR WARFARE CENTER AIRCRAFT DIVISION LAKEHURST, (CODE SR3),  
LAKEHURST, NJ 08733

GOVERNMENT DESIGNATION	MANUFACTURER'S DESIGNATION	TEST OF QUALIFICATION REFERENCE	MANUFACTURER'S NAME AND ADDRESS
		CLASS B	
MS16057-1	MGE-93-200	BuWeps ltr RAAE-522: EAW dtd 21 Feb 1961	AMF Electrosystems Div.
MS16057-3	702775	NATC ltr 4123 SER SY60/429 dtd 13 Feb 1976	Aerospace Avionics, Inc.
AMSC N/A			FSC 6125

Figure AP2-F5. Example of a Modified Method for Listing Manufacturers

## QPL-7032-26

GOVERNMENT DESIGNATION	MANUFACTURER'S DESIGNATION	TEST OF QUALIFICATION REFERENCE	MANUFACTURER'S NAME AND ADDRESS
MS16062-1	32B1161-1-B	NATC ltr 4123 Ser SY60/102 dtd 17 Mar 1976	Bendix Corporation
MS17404-2	32B56-9-C	NATC ltr 4123 Ser SY60/045 dtd 9 Feb 1978	
MS17404-2	MGE-23-400A	MATC ltr 1423 WST 43-509 dtd 9 Sep 1971	AMF Electrosystems
MS17406-1	MGH-182-100A	NATC ltr WST 33-431 dtd 3 Aug 1971	
MS17406-1	32B180-9-B	NATC ltr WST 33-432 dtd 30 July 1971	Bendix Corporation
MS17406-3	PS-277-3	NATC ltr 4123 Ser SY60/640 dtd 9 Dec 1976	EMP Electronics, Inc.
MS17406-3	EMIR 283A	NATC ltr 4123 Ser SY60/235 dtd 13 May 1977	Gulton Industries, Inc.

Figure AP2-F5. Example of a Modified Method for Listing Manufacturers, continued

MANUFACTURER'S COMPLETE NAME AND ADDRESS

Aerospace Avionics, Inc.  
Airport International Plaza  
110 Wilber Place  
Bohemia, NY 11716  
Plant: Same address

AMF Electrosystems Div.  
AMF Incorporated  
Vandalia, OH 45377  
Plant: Same address

Bendix Corporation  
Electric Power Division  
Eatontown, NJ 07724  
Plant: Same address

Gulton Industries, Inc.  
Engineered Magnetics Div.  
13041 Cerise Avenue  
Hawthorne, CA 90250  
Plant: Same address

EMP Electronics, Inc.  
1231 W. 23rd Street  
Tempe, AZ 85282  
Plant: Same address

Figure AP2-F5. Example of a Modified Method for Listing Manufacturers, continued

## QPL-39022-31

MANUFACTURER'S NAME, ADDRESS AND PLANT	CAGE NUMBER	MANUFACTURER'S NAME, ADDRESS AND PLANT	CAGE NUMBER
Acushnet Capacitor Company, Inc. 720 Belleville Avenue New Bedford, MA 02741 Plant: Same address	50930		
Components Research Company, Inc. 1655 26th Street Santa Monica, CA 90404 Plant: Same Address	12517		
Electronic Concepts, Inc. 526 Industrial Way West P.O. Box 627 Eatontown, NJ 07724 Plant: Same Address	50558		
Hi-Rel Capacitor, Inc. 12931 East Sunnyside Place Santa Fe Springs, CA 90670 Plant: Same Address	54795		
Sprague Electric Company Marshall Street North Adams, MA 01247 Plant: Sprague Electric Co. Dearborn Electronics Div. Highway I7 and 92 Longwood, FL	56289		
Union Carbide Corporation Materials System Division P.O. Box 5928 Greenville, SC 29606 Plant: Route 276, S.E., Greenville, SC	31433		
West-Cap Arizona Subsidiary of San Fernando Electric Company 2201 Elvira Road Tucson, AZ 85706 Plant: Same Address	32159		

Figure AP2-F6. Example of a QPL Listing CAGE Number

QUALIFICATION VALIDATED  
ANNUALLY

QML-1234  
24 September 1998

QUALIFIED MANUFACTURERS LIST  
OF  
PERFORMANCE SPECIFICATION

MIL-PRF-1234

PRINTED WIRING BOARDS

This list has been prepared for use by or for the Government in the acquisition of Printed Wiring Boards to the performance requirements of Specification MIL-PRF-1234. This listing is not intended to and does not connote endorsement by the Department of Defense. All manufacturers listed herein have been certified under the requirements as specified in the latest effective issue of the applicable specification. This list is subject to change without notice; revision or amendment of this list will be issued as necessary. The listing does not release the manufacturer from compliance with the specification requirements.

THE ACTIVITY RESPONSIBLE FOR THIS QML IS THE U.S. ARMY LABORATORY COMMAND (LABCOM). The activity designated as agent for all contacts relative to this QML is the Defense Supply Center Columbus, 3990 East Broad Street, Columbus, OH 43213-1199.

qualification. Qualification of a particular board type Extent of qualification. Qualification of a particular board type shall be extended to cover all conductor patterns of that same board type produced. Qualification of type 3 boards shall be extended to cover type 1 and type 2 boards. Qualification of type 2 boards shall be extended to cover type 1 boards. Qualification with type GF base material shall be extended to cover types GB and GH base materials. Qualification with type GR base material shall be extended to cover type GP base material.

Extent of qualification (mass lamination). Qualification of a contract lamination (four conductor layers) shall be extended to cover a contract lamination of three conductor layers. Qualification of a contract lamination (ten conductor layers) shall be extended to cover a contract lamination of three or more conductor layers.

AMSC N/A

FSC 5998

Page 1 of 3 Pages

Figure AP2-F7. Example of a QML



## QML-1234

## Notes:

- a. The QML format includes the qualification expiration date as the last six digits of the test reference number (e.g. mm/dd/yy).
- b. An asterisk (\*) adjacent to the qualification reference number denotes that the product was tested for and meets the etchback requirements.
- c. Two asterisks (\*\*) adjacent to the qualification reference number denotes that the product was tested and meets the requirements for mass-lamination with contract services as indicated.

## BASE MATERIAL

GB (13949/2) - Glass, Woven, Majority Polyfunctional Epoxy Resin, Not Strength Retention

GF (13949/4) - Glass Base, Woven, Majority Difunctional Epoxy Resin, Flame, Resistant

GH (13949/5) - Glass Base, Woven, Majority Polyfunctional Epoxy Resin, Not Strength Retention, Flame Resistant

GP (13949/6) - Glass Base, Nonwoven, Polytetrafluoroethylene Resin

GR (13949/7) - Glass Base, Nonwoven, Polytetrafluoroethylene Resin, Flame Resistant

MANUFACTURER'S NAME (ADDRESSES ON LAST PAGE)	TEST REFERENCE EXPIRATION DATE (MM/DD/YY)	MANUFACTURER'S NAME (ADDRESSES ON LAST PAGE)	TEST REFERENCE EXPIRATION DATE (MM/DD/YY)
<u>GF, Type 3</u>		<u>GF, Type 1 &amp; 2</u>	
Advanced Quick Circuits	1234-183-061492	Accutronics, Inc	1234-409-110793
Automated Systems, Inc	1234-132-080391*	Alpha Circuits, Inc	1234-417-010692
<u>GF, Type 1 &amp; 2 &amp; 3</u>			
A&C Electronics	1234-128-040693		
AAI Corp	1234-426-123091		

Page 2 of 3 Pages

Figure AP2-F7. Example of a QML, continued

## QML-1234

MANUFACTURER'S NAME, ADDRESS AND PLANT	CAGE CODE	MANUFACTURER'S NAME, ADDRESS AND PLANT	CAGE CODE
A & C Electronics 18153 Napa Street Northridge, CA 91325 Plant: Same Address	65812	Advanced Quick Circuits 245 East Drive Melbourne, FL 32904 Plant: 600-C N. John Rhodes Blvd Melbourne, FL 32935	64324
AAI Corporation P.O. Box 126 Hunt Valley, MD 21031 Plant: York Rd. & Industrial Lane Building 110 Cockeysville, MD 21030	02127	Alpha Circuits, Inc. 331 East Main Street Middletown, CT 06457 Plant: Same Address	78339
AF-2 15115 Minnetonka Industrial Road Minnetonka, MN 55345 Plant: 3905 California Street NE Minneapolis, MN 55421	66695	American Electronic Laboratories 305 Richardson Road Lansdale, PA Plant: Same Address	19544
Accutronics Inc. 225 N. First Street Cary, IL 60013 Plant: Same Address			

Page 3 of 3 Pages

Figure AP2-F7. Example of a QML, continued

NOTICE OF  
CANCELLATION

QPL-19875-14  
NOTICE 1  
28 May 1986

QUALIFIED PRODUCTS LIST  
OF  
PRODUCTS QUALIFIED UNDER MILITARY SPECIFICATION  
MIL-S-19875  
SCALING AND CHIPPING TOOL, ROTARY, PORTABLE, ELECTRIC,  
FUNCTIONAL OR DOUBLE INSULATED, AND CUTTER BUNDLES

GOVERNMENT DESIGNATION	MANUFACTURER'S DESIGNATION	TEST OF QUALIFICATION REFERENCE	MANUFACTURER'S NAME AND ADDRESS
---------------------------	-------------------------------	---------------------------------------	------------------------------------

Qualified Products List QPL-19875-13 dated 1 July 1982 is hereby canceled.

Military Specification MIL-S-19875B(SH) which covered the products listed thereon has been canceled without replacement.

AMSC N/A

FSC 5130

Figure AP2-F8. Example of a QPL Cancellation Notice

## QPL NATO

U.S. QUALIFIED PRODUCTS LIST  
OF  
PRODUCTS QUALIFIED UNDER SPECIFICATION  
OF OTHER NATO COUNTRIES

This list has been prepared to record the qualification approvals granted under the specification listed, in implementation of STANAG-4093, and such listing of a product is not intended to and does not connote endorsement of the product or intent to procure by the U.S. Department of Defense. All products listed herein have been qualified under the requirements for the product as specified in the latest effective issue of the applicable specification. This list is subject to change without notice; revision or amendment of this list will be issued as necessary. The listing of a product does not release the supplier from compliance with the specification requirements.

THE ACTIVITY RESPONSIBLE FOR THIS QUALIFIED PRODUCTS LIST IS THE  
(PREPARING ACTIVITY AND ADDRESS OF THE SPECIFICATION).

GOVERNMENT DESIGNATION	MANUFACTURER'S DESIGNATION	TEST OF QUALIFICATION REFERENCE	MANUFACTURER'S NAME AND ADDRESS
---------------------------	-------------------------------	---------------------------------------	------------------------------------

(List number and title of specifications and name of issuing country.)

Figure AP2-F9. Example of a QPL-NATO

AP3. APPENDIX 3NON-GOVERNMENT STANDARDSAP3.1. GENERAL

Nationally and internationally recognized technical, professional, and industry associations and societies (hereafter referred to as "non-Government standards bodies (NGSBs)") prepare standards, many having potential application or impact in the DoD. Section 12(d) of Public Law 104-113 (reference (y)) requires Federal agencies to use NGSs and participate in their development to meet agency needs and objectives, when it is consistent with the agency's mission, priorities, and budget resources. OMB Circular A-119 (reference (z)) provides government-wide guidance for implementing the public law. The SD-9 (reference (aa)) provides guidance information on DoD participation in the development and use of NGSs.

AP3.2. PARTICIPATION IN NGSB ACTIVITIES

DoD personnel are encouraged to participate on NGS technical committees to promote standards that meet DoD needs. Participation by DoD personnel shall be consistent with the policies in DoD Directive 5500.7 (reference (bb)).

AP3.2.1. DoD Representation. DoD personnel who participate in the activities of NGSBs at Government expense shall do so as official Department or Agency representatives. Once a NGS has been adopted or a standardization project has been assigned by the LSA to adopt a NGS, the Adopting Activity shall be the official DoD technical focal point for that NGS and represent the DoD on all technical matters related to the NGS. For technical committees or NGS projects that are of interest to the DoD, but have no DoD representation, the appropriate LSA shall be responsible for ensuring DoD representation. The DepSOs shall have a management oversight function to ensure adequate representation on those NGS committees that are important to the interests or mission of their Military Department or Defense Agency. The appropriate LSA can be determined by consulting the SD-1 (reference (f)), which identifies a LSA for each FSG, FSC, and standardization area. If DoD representation at a NGSB meeting is not possible, DoD participation may be through correspondence, telephone, or other suitable means. The SD-11 database identifies DoD participants on NGS committees. The database can be accessed over the Internet at [www.dsp.dla.mil](http://www.dsp.dla.mil).

AP3.2.2. Administrative Fees and Organizational Memberships. Some NGSBs require payment of organizational or individual fees to help offset the administrative costs of participation such as mailing, typing, and reproduction. While policy prohibits paying individual membership fees, there is no restriction on paying administrative fees to cover the costs of authorized DoD representatives. Where administrative fees for individual representatives have been paid, the DoD must retain the right to substitute alternate personnel. Even though an individual may be named as a regular participant and receives some benefits of participation, the fee has been paid for the DoD activity to have a representative. It is the activity's right to designate someone to represent it. Sometimes, it is in the best interest of the DoD to acquire

organizational memberships in NGSBs. This may be done at an activity, Department, Agency, or DoD level depending on the situation.

### AP3.3. RESPONSIBILITIES

AP3.3.1. DepSO. The DepSO shall have a management oversight role to ensure adequate participation on NGS committees that are important to the interests and mission of their Military Department or Defense Agency and to resolve NGS-related issues.

AP3.3.2. LSA. In the area of their assignments, LSAs shall have the following responsibilities:

AP3.3.2.1. Assign standardization projects for the adoption of a NGS.

AP3.3.2.2. Seek appropriate DoD representation on NGS technical committees where DoD participation is necessary.

AP3.3.2.3. Work with NGSBs to address future DoD standards needs and seek the establishment of committees in areas not adequately covered by existing groups.

AP3.3.3. Adopting Activities. Adopting Activities shall have the following responsibilities:

AP3.3.3.1. Adopt NGSs and serve as the DoD technical focal point for those documents.

AP3.3.3.2. Coordinate draft NGSs with other interested SMAs to solicit comments and identify Custodian and review interest.

AP3.3.3.3. Resolve and consolidate DoD comments on draft NGSs, and provide DoD comments and positions in time to be considered for inclusion in the approved NGS.

AP3.3.3.4. Prepare adoption notices for NGSs and submit the notice together with a copy of the approved NGS to the DoDSSP for indexing, stocking, and distribution.

AP3.3.3.5. Ensure that the ASSIST database lists the latest edition of the adopted NGS.

AP3.3.3.6. Keep the NGSB apprised of DoD needs for new standards, changes required to existing standards to make them acceptable to the DoD, and any problems with adopted NGSs.

### AP3.4. DOD USE OF NGS

The DoD uses both adopted and unadopted NGSs either directly as acquisition documents, as references in other documents, or as design or reference guides. While NGSs that have not been adopted may be used, action to adopt these documents is encouraged. Usage of a NGS in the DoD suggests it is technically adequate to meet DoD needs, and coordination of the NGS may not be necessary. Since usage is tantamount to adoption, all that may be necessary is the

preparation of an adoption notice to address certain administrative information, document Custodians, and perhaps some application guidance. Sample adoption notices are shown in figures AP3-F1. and AP3-F2. Where only a small portion of a NGS is needed, it may be more efficient to directly copy the pertinent portion into the Government document after permission is obtained.

#### AP3.5. REPLACING GOVERNMENT DOCUMENTS WITH NGS

Existing defense and Federal standardization documents shall be inactivated for new design or canceled and replaced by NGSs where it can be determined that a NGS meets the users' requirements contained in the document it is replacing. The adoption notice for the NGS and the inactive for new design or cancellation notice for the Government document shall indicate any supersession, substitutability, or cross-reference information. See figure AP3-F2.

#### AP3.6. ADOPTION OF NGS

Adoption is an expression of acceptance of a NGS for repetitive use by the DoD. The main criteria for adoption of a NGS is whether it meets the DoD needs, and if it will be used by DoD users either in direct procurement, as a reference in another document, or as a design or reference guide. The ASSIST database should reflect the most current NGS date. The DoD shall ensure, through participation, future revisions, amendments, and other changes to an adopted NGS meet DoD needs. While it is not mandatory for a NGS to be adopted to be used, adoption is strongly encouraged to provide for document visibility, ensure document availability to DoD personnel, and identify a DoD technical focal point.

AP3.6.1. Adoption Procedures. Adopting Activities should adopt NGSs simultaneously with their final approval by the NGSB. The Adopting Activity should participate in the development of the NGS and solicit input from other interested DoD activities during the draft stages of the NGS. The Adopting Activity can usually determine Custodians and Review Activities by checking the ASSIST database and seeing what activities are interested in similar documents. If the Adopting Activity needs help, the LSA may suggest some Custodians and Review Activities. Once the Adopting Activity determines that a NGS under development can meet the needs of the DoD, the following steps shall occur:

AP3.6.1.1. If the Adopting Activity determines the DoD will have an interest in the draft NGS, the Adopting Activity shall request a standardization project number from the LSA to adopt the NGS.

AP3.6.1.2. The LSA shall issue a standardization project number after ensuring that another activity is not already working on a duplicative effort and that the NGS is necessary to meet a DoD need.

AP3.6.1.3. The Adopting Activity shall review and forward draft(s) of the NGS to appropriate DoD activities for comment as a part of the normal coordination of the draft(s) by the NGSB. Review of drafts may be done under engineering practice studies.

AP3.6.1.4. The Adopting Activity shall review the comments and submit a consolidated position to the NGS technical committee. The Adopting Activity has the responsibility for determining which comments to forward to the NGS technical committee, and advising DoD activities of any comments not accepted.

AP3.6.1.5. If comments are satisfactorily resolved and the NGS meets DoD needs, the Adopting Activity shall adopt the document without further coordination. The Adopting Activity shall send the adoption notice together with the approved NGS to the DoDSSP for indexing, stocking, and distribution.

AP3.6.1.6. If DoD comments are not satisfactorily resolved and the approved NGS does not meet DoD needs, the Adopting Activity shall discontinue the standardization project and inform the LSA of the technical basis for the discontinuation. The Adopting Activity and LSA shall work together to determine an alternative course of action to meet DoD needs. Alternative actions are discussed in section AP3.7., below.

AP3.6.2. Updates to Adopted NGS. Adoption is a one-time event, so it is not necessary to adopt updates for adopted NGSs. Many NGSBs have agreed to automatically send a copy of any updates of their adopted standards to the DoDSSP for stocking and indexing and a copy to the Adopting Activity for information. The SD-1 (reference (f)) identifies those NGSBs that have and have not agreed to this automatic update procedure. If a NGSB has not agreed to this automatic update procedure, then the Adopting Activity must send notice of the latest updates to the DoDSSP. While this automatic adoption procedure ensures the availability of the latest NGS issues for the DoD, it is not a substitute for participation and awareness on NGS technical committees. The Adopting Activity must ensure that DoD requirements are met by any NGS updates. Should an occasion arise when an adopted NGS does not meet the DoD needs, adoption should be withdrawn (see section AP3.8., below).

### AP3.7. RESOLUTION OF DOD COMMENTS

Preferably, the NGS technical committee will incorporate DoD comments into the NGS. However, if the NGS technical committee rejects essential DoD comments, the Adopting Activity shall reassess the adoption action and appropriately pursue one of the following alternative actions:

AP3.7.1. The NGS technical committee may be willing to set up different classes, grades, or types in the NGS to accommodate different levels of requirements.

AP3.7.2. The NGS technical committee may be willing to include a requirement on a "when specified" basis or through the inclusion of an appendix or supplement.

AP3.7.3. If the NGS cannot be modified to meet DoD needs, the DoD may develop a CID or a Federal specification or standard to meet its commercial acquisition requirements. If possible, the NGS should be adopted and used as the basis for the Government document.



AP3.7.4. It may be possible to adopt the NGS for commercial applications in the DoD, and develop a defense specification or standard to address unique military requirements and applications with the NGS serving as the basis for the defense specification or standard.

AP3.7.5. If it becomes apparent that the requirements are uniquely military, then a defense specification or standard should be prepared. This occurrence should be rare since such determination normally occurs before establishment of a standardization project.

#### AP3.8. WITHDRAWAL OF ADOPTION

AP3.8.1. The Adopting Activity shall issue a withdrawal of adoption notice to indicate that the DoD no longer uses the NGS and provide any replacement or substitution information (see figure AP3-F3.). Withdrawal of adoption notices shall have project numbers and shall be coordinated with the LSA, the Custodians, and the Review Activities. If another SMA does not concur with a proposal by the Adopting Activity to withdraw adoption, that SMA should assume Adopting Activity responsibility and shall notify the DoDSSP and the LSA. During a dispute, the LSA shall designate Adopting Activity responsibility.

AP3.8.2. The Adopting Activity shall issue a withdrawal of adoption notice when:

AP3.8.2.1. A NGS no longer meets the DoD need;

AP3.8.2.2. The requirement no longer exists; or

AP3.8.2.3. The NGSB cancels the NGS.

#### AP3.9. ADOPTION NOTICE

The purpose of the adoption notice is to indicate adoption of a NGS by the DoD and provide administrative information. Since the adoption notice applies automatically to all future updates of the NGS, unless a withdrawal notice is issued, it is not necessary to prepare an adoption notice for each update or to date the adoption notice. The only time the Adopting Activity must prepare a new adoption notice is if the administrative information changes. The Adopting Activity shall send any new adoption notices to the DoDSSP for printing, distribution, and stocking.

AP3.9.1. Adoption Notice Format. The format of the adoption notice shall be as shown on figures AP3-F1. and AP3-F2. As a minimum, the adoption notice shall include the following information:

AP3.9.1.1. NGS identifier.

AP3.9.1.2. Date adopted.

AP3.9.1.3. Name and address of the Adopting Activity.

AP3.9.1.4. Source for obtaining copies.

AP3.9.1.5. Custodian and Review Activities.

AP3.9.1.6. Project number.

AP3.9.1.7. FSG, FSC, or standardization area.

AP3.9.2. Application or Guidance Information. The Adopting Activity may include application or guidance information. Many NGSBs will include this type of information directly into the NGS or an appendix, and the Adopting Activity should pursue this option before including the information on the adoption notice. Adoption notices shall not contain any mandatory requirements and shall not alter any of the requirements in the NGS.

#### AP3.10. AVAILABILITY CRITERIA FOR ADOPTION

Documents proposed for adoption by the DoD must not only meet technical and policy requirements, but must also be readily available to the DoD and its contractors. Specific availability criteria is negotiated, for the DoD, by the DoDSSP. The basic requirement is that sufficient copies of documents be available, either purchased or printed with permission, to meet DoD needs, and that documents be available to contractors through the NGSB or other readily available source. The NGSBs that have agreed to the terms negotiated by the DoDSSP are listed in the SD-1 (reference (f)). It should be noted that appearance on this list signifies only that a NGSB has previously agreed to availability requirements. Such listing should not be construed as either authorizing any particular course of action, or as restricting participation or adoption to only the listed groups.

#### AP3.11. PRINTING AND DISTRIBUTION OF ADOPTION NOTICE AND NGS

For initial adoptions, the Adopting Activity shall send the adoption notice and a copy of the NGS with a printing request (NPPSO-5604/4) to the DoDSSP for indexing and purchasing of the NGS. For the stocking and indexing of future updates to adopted NGSs, many NGSBs have agreed to automatically send a copy of any updates of their adopted standards to the DoDSSP. Unless there is a change in the information on the adoption notice, the Adopting Activity does not have to submit a new adoption notice. Reference (f) identifies those NGSBs that have and have not agreed to this automatic update procedure. If a NGSB has not agreed to this automatic update procedure, then the Adopting Activity must send the latest updates to the DoDSSP using the print order form NPPSO 5604/4. The DoDSSP distributes copies of adopted NGSs to DoD activities only. Other Government activities and private sector requestors must purchase copies of NGSs from the appropriate NGSB or some other authorized source. The DoDSSP shall permanently maintain and issue withdrawal of adoption notices, unless the NGS is subsequently readopted.

#### AP3.12. IDENTIFYING AND REFERENCING NGS

NGSs shall be identified by the document number assigned to it by the originating NGSB. When a particular NGS has been approved by more than one NGSB, the ASSIST database shall only

list the document identification number assigned by the preparer of the NGS. NGSs should be referenced in standardization documents without citation to a date of issue, revision letter, or other designation. The approval date cited on the NGS is the effective date for Government contractual purposes.

### ADOPTION NOTICE

AWS A5.21, "Composite Surface Welding Rods and Electrodes," was adopted on (fill in date) for use by the Department of Defense (DoD). Proposed changes by DoD activities must be submitted to the DoD Adopting Activity: U.S. Army Laboratory Command, Materials Technology Laboratory, ATTN: SLCMT-MEE, Watertown, MA 02172-0001. DoD activities may obtain copies of this standard from the Standardization Document Order Desk, 700 Robbins Avenue, Building 4D, Philadelphia, PA 19111-5094. The private sector and other Government agencies may purchase copies from the American Welding Society, 550 N.W. LeJeune Road, P.O. Box 351040, Miami, FL 33135.

Custodians:  
Army - MR  
Air Force - 11

Adopting Activity:  
Army - MR  
(Project 3934-0678)

**NOTE: THIS IS A FICTITIOUS EXAMPLE CREATED TO ILLUSTRATE FORMAT ONLY.**

FSC 3934

Figure AP3-F1. Example of Adoption Notice

ASTM C 881

ADOPTION NOTICE

ASTM C 881, "Epoxy-Resin-Base Bonding Systems for Concrete," was adopted on (fill in date) for use by the Department of Defense (DoD). Proposed changes by DoD activities must be submitted to the DoD Adopting Activity: Naval Construction Supply Center, Code 156, Port Hueneme, CA 93043-5000. DoD activities may obtain copies of this standard from the Standardization Document Order Desk, 700 Robbins Avenue, Building 4D, Philadelphia, PA 19111-5094. The private sector and other Government agencies may purchase copies from the American Society for Testing and Materials, 1916 Race Street, Philadelphia, PA 19103.

ASTM C 881 should be used instead of MIL-C-29245, which was cancelled on January 11, 1990. The following information is provided for cross-reference purposes:

<u>MIL-C-29245</u>	<u>ASTM C 881</u>
Type I	Type I
Type III	Type I
Grade 1	Grade 1
Grade 2	Grade 2
Grade 3	Grade 3
Class B	Class B
Class C	Class C
Custodians:	Adopting Activity:
Army - ME	Navy - YD
Navy - YD	(Project 5610-0507)

**NOTE: THIS IS A FICTITIOUS EXAMPLE CREATED TO ILLUSTRATE FORMAT ONLY.**

FSC 5610

Figure AP3-F2. Example of Adoption Notice With Supersession Information  
AMS 7730

### WITHDRAWAL OF ADOPTION NOTICE

The Department of Defense has determined it no longer has an interest in AMS 7730, "Depleted Uranium Castings," and is hereby withdrawing its adoption of this document as of (fill in date).

Adopting Activity:  
Air Force - 11  
(Project MECA-1234)

**NOTE: THIS IS A FICTITIOUS EXAMPLE CREATED TO ILLUSTRATE FORMAT ONLY.**

AREA MECA

Figure AP3-F3. Example of Withdrawal of Adoption Notice

AP4. APPENDIX 4COMMERCIAL ITEM DESCRIPTIONSAP4.1. GENERAL

The GSA is responsible for CID policies and procedures. When developing, updating, or canceling CIDs, Preparing Activities must follow the policies and procedures in the *Federal Standardization Manual* (reference (l)), the general standardization requirements in Chapters 4 and 5 of this Manual, and the supplementary requirements in this Appendix. The SD-2 (reference (cc)) also contains supplementary information for preparing CIDs. If a conflict arises between this Manual and reference (l) on preparing CIDs, reference (l) shall govern.

AP4.2. CID DEVELOPMENT PROCESS

Figure AP4-F1 depicts the typical CID development process in the DoD.

AP4.2.1. Determine the Need. After NGSs, CIDs are the document of choice for buying commercial products. A CID shall only be developed or revised if a NGS does not exist that meets the users' need. If a NGS exists that nearly meets the need, but requires changes, the Preparing Activity shall develop a CID using the NGS as the primary basis for the requirements. At the same time, the Preparing Activity shall request the appropriate NGSB to make the necessary changes to the NGS, and the CID shall be cancelled when the changes to the NGS are made. Besides the need determination guidance offered in reference (cc) and subsection C4.2.1. of Chapter 4, the following determinations must also be made before taking the time and resources to develop a CID:

AP4.2.1.1. Does a product exist in the commercial market that will meet the users' need, preferably with little or no modification? Market research is an important part of the need determination process. SD-5 (reference (dd)) provides comprehensive guidance on conducting market research. Essentially, CIDs are used to buy existing commercial items. Do not use CIDs to encourage the development of a commercial item. Purchase descriptions can be used for research and development purposes.

AP4.2.1.2. Will a CID type document meet the users' needs? CIDs are short, simple product descriptions. The requirements need to describe briefly commercially-available items in such a way as to standardize on products that meet the users' needs. If the commercial product is especially complex and a lengthy document is needed to describe the requirements, a Federal specification may be needed. If the requirements are stated in terms of performance instead of detail design, a CID can usually be used even for complex commercial products.

AP4.2.1.3. Is there a need for a CID to support repetitive acquisitions in excess of 25,000 dollars annually? For occasional, small commercial purchases, a purchase description could be used instead of a CID.

AP4.2.2. Standardization Project Approval. As a minimum, the LSA should use the questions in Appendix 10 as guidance for determining project approval. Nearly all projects for CIDs should be coordinated. The LSA shall challenge any requests for limited coordinated projects. The LSA shall not approve any requests for interim projects.

AP4.2.3. Drafting the CID. Besides the general requirements in section C5.3. of Chapter 5, the following administrative requirements apply:

AP4.2.3.1. CIDs shall not be source documents for DIDs or require the development of government-unique data. Therefore, all CIDs shall be marked "AMSC N/A" in the lower left-hand corner of the first page. It is acceptable for CIDs to require the inclusion of data that is normally provided to all customers with the product, such as operator manuals.

AP4.2.3.2. CIDs shall not contain classified information.

AP4.2.3.3. CIDs shall not contain qualification requirements.

AP4.2.3.4. The notes section of the CID shall include a point of contact to send beneficial comments and recommendations.

AP4.2.4. Coordination. Since nearly all CIDs are coordinated documents, Preparing Activities shall coordinate CIDs with the LSA, Custodians, Review Activities, other DoD users, and a representative segment of industry. In many cases, civilian agencies have an interest in DoD prepared CIDs and should be included in the coordination. The Preparing Activity should contact the GSA (the Department of Veterans Affairs for FSG 65 and the Department of Agriculture for FSG 89) if it needs help in identifying civilian agency interest.

#### AP4.3. CANCELLATION

When the DoD Preparing Activity determines that a CID should be canceled, the following steps shall be taken:

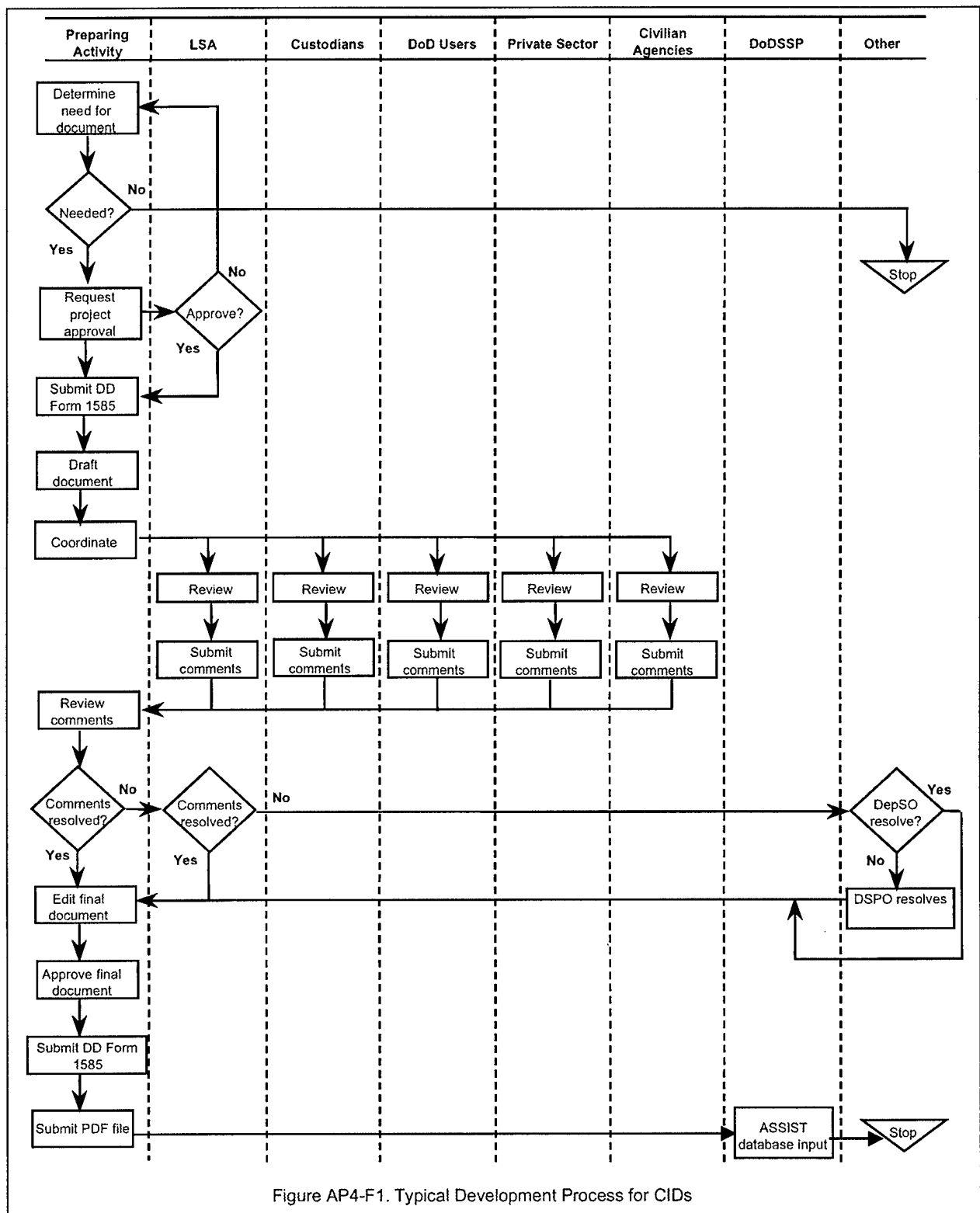
AP4.3.1. Obtain a project number from the LSA.

AP4.3.2. Coordinate the cancellation notice with the LSA, civilian agencies, Custodians and Review Activities, and affected segments of industry. The cancellation notice should identify a superseding document(s), if possible, and provide a cross reference of classifications.

AP4.3.3. If no objections are received, the cancellation notice shall be approved and dated.

AP4.3.4. If objections to the cancellation are received, the DoD Preparing Activity shall attempt to resolve the objection. If resolution is not possible, Preparing Activity responsibility may be transferred to the objecting SMA or civilian agency.





## AP5. APPENDIX 5

### FEDERAL SPECIFICATIONS AND STANDARDS

#### AP5.1. GENERAL

The GSA is responsible for policies and procedures for Federal specifications and standards. When developing, updating, or canceling Federal specifications and standards, Preparing Activities must follow the policies and procedures in the *Federal Standardization Manual* (reference (1)), the general standardization requirements in Chapters 4 and 5 of this Manual, and the supplementary requirements in this Appendix. If a conflict arises between this Manual and reference (1) on preparing Federal specifications and standards, reference (1) shall govern.

#### AP5.2. FEDERAL SPECIFICATION AND STANDARD DEVELOPMENT PROCESS

Figure AP5-F1. depicts the typical development process for a Federal specification or standard in the DoD.

AP5.2.1. Determine the Need. Before developing or revising a Federal specification or standard, the DoD Preparing Activity shall determine if a suitable NGS exists or could be revised to meet the users' need. If a suitable NGS does not exist, the DoD Preparing Activity shall consider development of a CID. A Federal specification shall only be developed or retained if extensive government-unique (but not military unique) requirements are necessary or if extensive testing is necessary. A Preparing Activity may develop a Federal specification or standard with authorization of the GSA, the Department of Agriculture (for FSG 89 only), or the Department of Veterans Affairs (for FSG 65), as applicable. If a NGS exists that nearly meets the need, but requires changes, the Preparing Activity may develop a Federal specification or standard using the NGS as the primary basis for the requirements. At the same time, the Preparing Activity shall request the appropriate NGSB to make the necessary changes to the NGS, and the Federal document shall be canceled when the changes to the NGS are made. See the criteria in subsection C4.2.1. of Chapter 4 and Appendix 10 for determining the need for a Federal specification or standard.

AP5.2.2. Standardization Project Approval. Project approval for a Federal specification or standard is a two-phase process. The appropriate civilian agency and the LSA must both approve Federal standardization projects.

AP5.2.2.1. Civilian Agency Approval. Before contacting the LSA, the Preparing Activity shall call the appropriate civilian agency standardization office listed in the SD-1 (reference (f)) for authorization to develop, update, or cancel a Federal specification or standard. Besides approving the standardization project, the civilian agency should also provide a civilian agency coordination list.

AP5.2.2.1.1. For FSG 65, contact the Department of Veterans Affairs.

AP5.2.2.1.2. For FSG 89, contact the Department of Agriculture.

AP5.2.2.1.3. For all other FSGs, contact the GSA.

AP5.2.2.2. LSA Approval. The LSA shall first ensure that the appropriate civilian agency has approved the standardization project request. As a minimum, the LSA should use the questions in Appendix 10 as guidance for determining project approval. Nearly all projects for Federal specifications and standards should be coordinated and will almost always include civilian agencies. The LSA shall challenge any requests for limited coordinated projects.

AP5.2.3. Drafting the Federal Specification or Standard. Besides the general requirements in section C5.3. of Chapter 5, the following administrative requirements apply:

AP5.2.3.1. Only rarely should Federal specifications or standards be source documents for DIDs. Usually, Federal specifications or standards shall be marked "AMSC N/A" in the lower left-hand corner of the first page. If the Federal specification or standard is a source document for a DID, then it must be cleared by the authorized DID approval authority listed in DoD 5010.12-L (reference (p)) and assigned an AMSC number that shall appear in the lower left-hand corner of the first page. (See subsection C5.3.1. of Chapter 5.)

AP5.2.3.2. Federal specifications and standards shall not contain classified information.

AP5.2.3.3. Federal specifications may contain qualification requirements (see Appendix 2).

AP5.2.4. Coordination. Since nearly all Federal specifications and standards are coordinated documents, Preparing Activities shall coordinate them with the LSA, Custodians, Review Activities, other DoD users, and a representative segment of industry. In almost all cases, Preparing Activities should also coordinate with civilian agencies as well. For Federal specifications and standards, civilian agencies may submit essential comments that the Preparing Activity must resolve. (See subsection C5.5.1. of Chapter 5.)

AP5.2.5. Resolving Civilian Agency Comments. The Preparing Activity must resolve all essential comments submitted by interested civilian agencies. When requested, the Preparing Activity shall send a copy of the final draft to the civilian agency that authorized the standardization project for review and approval before forwarding to the DoDSSP. If the Preparing Activity does not satisfactorily address essential comments, the GSA, the Department of Veterans Affairs (for FSG 65), or the Department of Agriculture (for FSG 89) shall try to resolve the issue with the Preparing Activity. If this fails, the appropriate civilian agency shall contact the DSPO for appropriate action.

### AP5.3. CANCELLATION OF FEDERAL SPECIFICATIONS AND STANDARDS

The DoD Preparing Activity may cancel Federal specifications and standards with the approval and concurrence of GSA, the Department of Veterans Affairs (for FSG 65 documents), or the Department of Agriculture (for FGS 89 documents). When the DoD Preparing Activity

determines that a Federal specification or standard should be canceled, the following steps shall be taken:

AP5.3.1. Contact the GSA, the Department of Veterans Affairs (for FSG 65), or the Department of Agriculture (for FSG 89) for authorization to propose cancellation and to obtain a civilian agency distribution list for coordination.

AP5.3.2. Obtain a project number. The LSA shall ensure that the cognizant civilian agency has authorized the cancellation action before issuing a project number.

AP5.3.3. Coordinate the cancellation notice with the LSA, civilian agencies, military Custodians and Review Activities, and affected segments of industry. The cancellation notice should identify a superseding document(s), if possible, and provide a cross reference of classifications.

AP5.3.4. If no objections are received, the cancellation notice shall be approved and dated

AP5.3.5. If objections to the cancellation are received, the DoD Preparing Activity shall attempt to resolve the objection. If resolution is not possible, Preparing Activity responsibility may be transferred to the objecting SMA or civilian agency.

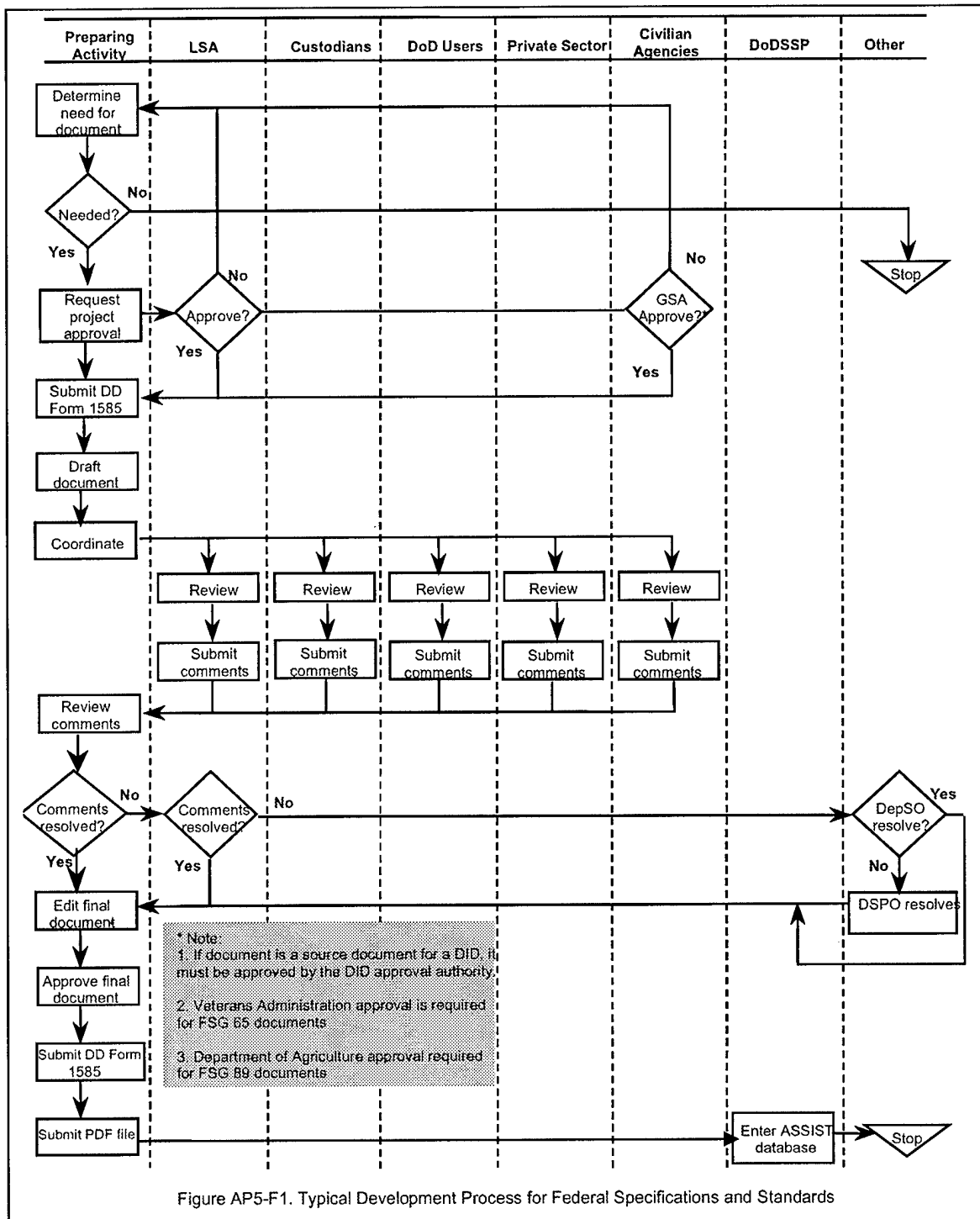


Figure AP5-F1. Typical Development Process for Federal Specifications and Standards

## AP6. APPENDIX 6

### DEFENSE SPECIFICATIONS, STANDARDS, AND HANDBOOKS

#### AP6.1. GENERAL

Defense specifications shall be prepared in accordance with MIL-STD-961 (reference (n)). Defense standards and handbooks shall be prepared in accordance with MIL-STD-962 (reference (o)). Defense standardization documents shall be processed in accordance with the general standardization requirements in Chapters 4 and 5 of this Manual, and the supplementary requirements in this Appendix.

#### AP6.2. DEFENSE STANDARDIZATION DOCUMENT DEVELOPMENT PROCESS

Figure AP6-F1. depicts the typical development process for a coordinated defense standardization document.

AP6.2.1. Determine the Need. Besides the criteria in subsection C4.2.1. of Chapter 4 and Appendix 10 for determining the need for defense standardization documents, the following criteria apply:

AP6.2.1.1. NGSs, CIDs, or Federal specifications or standards shall be developed to describe commercial products or processes.

AP6.2.1.2. Defense specifications and standards shall be developed or updated only for items that have military-unique requirements.

AP6.2.1.3. Unless a NGS exists or could be developed, defense handbooks may be developed to provide guidance on the use or application of commercial products and practices, as well as for military products and practices.

AP6.2.2. Standardization Project Approval. As a minimum, the LSA should use the questions in Appendix 10 as guidance for determining project approval. Generally, projects for defense standardization documents shall be coordinated, unless:

AP6.2.2.1. The Preparing Activity can demonstrate to the satisfaction of the LSA that the product or process is unique to one Military Department or Defense Agency.

AP6.2.2.2. Prior coordination efforts resulted in the other Military Departments or Defense Agencies declaring no interest.

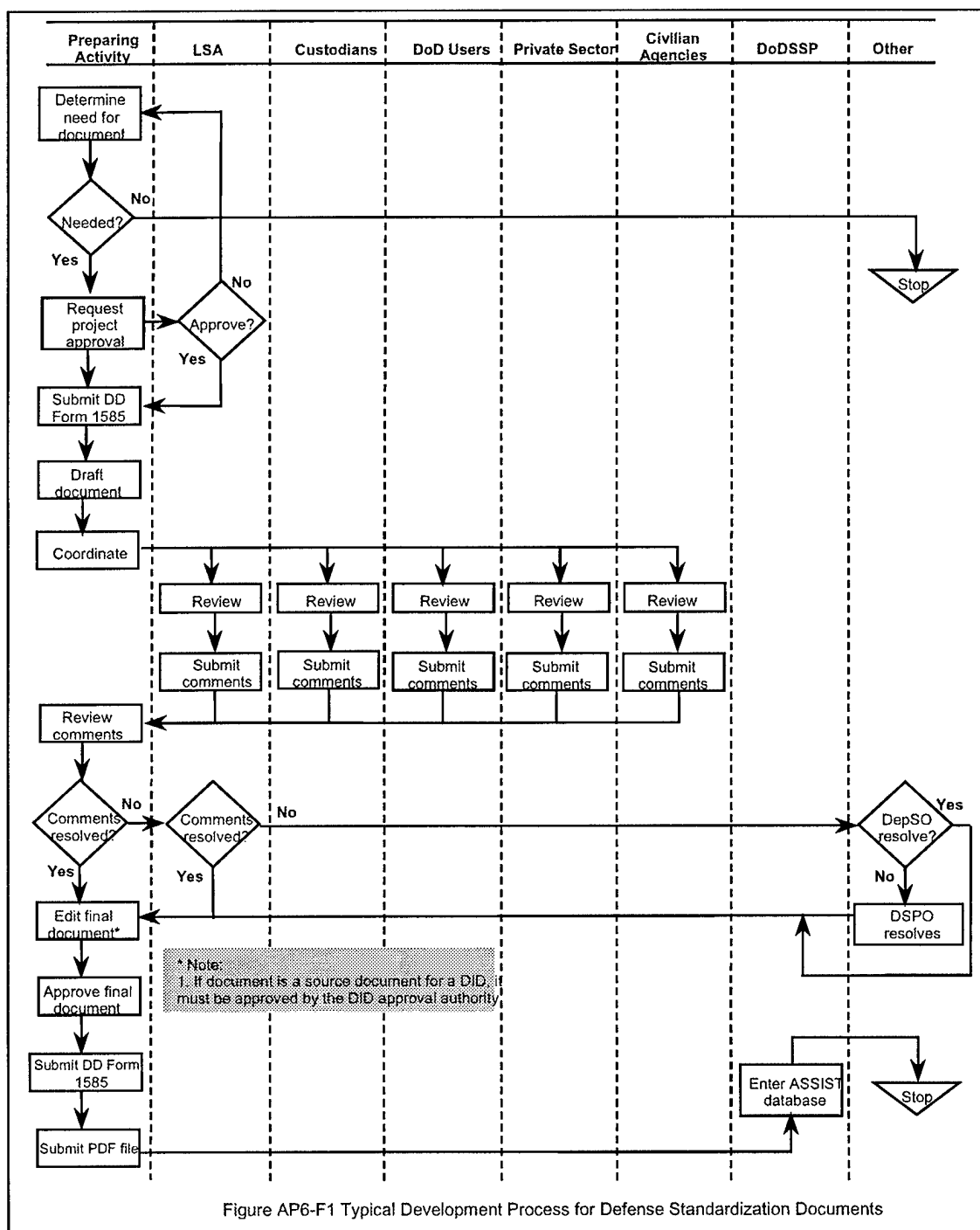
AP6.2.2.3. An urgent procurement need requires issuance of an interim document. In this case, the LSA shall also issue a coordinated project that must be completed in 2 years.

AP6.2.3. Drafting the Defense Standardization Document. Besides the general requirements in section C5.3. of Chapter 5, the following administrative requirements apply:

AP6.2.3.1. Defense specifications and standards are sometimes the source documents for DIDs. If the defense specification or standard is a source document for a DID, it must be cleared by the data approval authority indicated in DoD 5010.12-L (reference (p)) and assigned an AMSC number that shall appear in the lower left-hand corner of the first page. Defense handbooks shall not be source documents for DIDs and shall be marked "AMSC N/A" in the lower left-hand corner of the first page. (See subsection C5.3.1. of Chapter 5.)

AP6.2.3.2. Defense specifications may contain qualification requirements (see Appendix AP2.).

AP6.2.4. Coordination. Most defense standardization documents should be coordinated ones, and Preparing Activities shall coordinate them with the LSA, Custodians, Review Activities, other DoD users, and a representative segment of industry. Defense standardization documents may also be coordinated with civilian agencies and any other users. Limited coordinated defense standardization documents shall be coordinated with the LSA, Review Activities in the Military Department or Defense Agency, other DoD users, and a representative segment of industry. Interim documents do not require coordination, but a coordinated document shall be coordinated shortly after approval of the interim in order to meet the 2-year completion requirement.





## AP7. APPENDIX 7

### GUIDE SPECIFICATIONS

#### AP7.1. GENERAL

Guide specifications shall be developed following the general policies and procedures in Chapters 4 and 5 of this Manual. Guide specifications may also be designated as specification guides, but for the purposes of the Manual, only the term guide specifications will be used. Section Three of SD-15 (reference (k)) provides additional guidance on preparing guide specifications. The requirements in this Appendix are those that are unique or have been tailored for guide specifications.

#### AP7.2. PURPOSE

Guide specifications are standardization documents that provide templates of requirements and verification statements that are commonly used in defining types of systems, subsystems, assemblies, or equipment. The specific values and criteria for each requirement must be individually determined and tailored to make the requirements relevant for a specific application. Unlike defense specifications, which standardize on fixed form, fit, and function requirements for procurement of like items, guide specifications standardize primarily on functional or performance requirements that are used in the development of new systems, subsystems, equipments, and assemblies. Guide specifications should not be used for procurement purposes, and generally, should not be used for components, parts, and materials.

#### AP7.3. GUIDE SPECIFICATION DEVELOPMENT PROCESS

Guide specifications follow a similar document development process as discussed in Chapters 4 and 5 of this Manual for defense specifications.

AP7.3.1. Standardization Project Assignment. Guide specifications shall be assigned project numbers before draft development as specified in Chapter 4 of this Manual. Most of the standardization project criteria in Appendix 10 apply to guide specifications, except the LSA must ensure that it shall be used for development and not for procurement purposes.

AP7.3.2. Drafting the Guide Specification. The following applies for drafting guide specifications:

AP7.3.2.1. Format. The general requirements in section 4 of MIL-STD-961 (reference (n)) should be used for the general format, although guide specifications for facilities construction should be based on the Construction Specification Institute's MP2.2 (reference (ee)). The Preparing Activity shall establish the specific format for the content. While not mandatory, a fill-in-the-blank format is frequently used, leaving specific values or requirements open for determination for each acquisition. A nonmandatory appendix(es) is often a part of a guide specification to make users aware of past solutions that have worked or not worked.

AP7.3.2.2. Document Identifier. The document identifier shall consist of two characters to designate organizational affiliation immediately followed by the letters "GS" (for Guide Specifications) or "SG" (for Specification Guide), a dash, and up to five numbers (e.g., "MPGS-45678," "CEGS-02444," or "JSSG-54321"). The document numbers "00100" through "19999" are reserved for the facilities construction programs. Preparing Activities shall contact the DSPO for individual or block number assignments. Maximum direct conversion of existing document numbers to the new guide specification numbers is encouraged (e.g., "MIL-S-87241" becomes "AFGS-87241").

AP7.3.2.3. Document Date. The document date shall be in day, month, and year sequence and located under the document identifier.

AP7.3.2.4. Preamble. A preamble is optional. If one is used, it may be worded as desired by the Preparing Activity.

AP7.3.2.5. AMSC Numbers. Guide specifications can be the source documents for DIDs. If a guide specification is a source document for a DID, then it must be cleared by the data approval authority indicated in DoD 5010.12-L (reference (p)) and assigned an AMSC number that shall appear in the lower left-hand corner of the first page. Guide specifications that are not source documents for DIDs shall be marked "AMSC N/A" in the lower left-hand corner of the first page. (See subsection C5.3.1. of Chapter 5.)

AP7.3.2.6. Qualification. Guide specifications shall not have qualification requirements.

AP7.3.2.7. Subject Term or Keywords. Guide specifications shall have subject terms or keywords as required by MIL-STD-961 (reference (n)).

AP7.3.3. Coordination. Preparing Activities normally shall coordinate them with the LSA, other DoD users, and a representative segment of industry. If a guide specification is coordinated, the Preparing Activity shall include Custodians and Review Activities in the coordination.

#### AP7.4. UPDATES

Guide specifications may be updated by complete revision or by change notice with page changes. Revisions shall be shown by an alpha revision designator and an approval date.

AP8. APPENDIX 8ITEM REDUCTION PROGRAMAP8.1. GENERAL

This Appendix contains procedures and instructions applicable to the determination, coordination, dissemination, and implementation of item standardization decisions. These procedures apply to the DoD and GSA. Figure AP8-F1. gives an overview of the item reduction study process.

AP8.2. PROCEDURE FOR ITEM REDUCTION CODING

AP8.2.1. Item Standardization Code Assignments. All national stock numbers (NSNs) in the Federal Logistics Information System (FLIS) total item record (TIR) shall be assigned an item standardization code (ISC). The standardization data of the TIR shows where and when the authorization decision was made. ISC assignments document standardization decisions that are made in four areas. These four areas and the activities responsible for assignment of ISCs are as follows:

AP8.2.1.1. Item Reduction Studies. The Item Reduction Activity proposes ISCs, and after coordination, submits the official ISCs to the Defense Logistics Information Service (DLIS). ISCs 1 and 3 apply (ISCs 2 and C shall be applied by the Item Reduction Activity as appropriate).

AP8.2.1.2. Superseding Specifications and Standards. The Item Reduction Activity implements and submits ISCs resulting from new or revised or superseding specifications and standards. The Preparing Activity for the specification or standard must furnish the Item Reduction Activity any supplemental information that may be required for proper assignment of ISCs. ISCs B and E apply.

AP8.2.1.3. Determination That There Is No Item Reduction Potential in FSC or Item Name Grouping in the Class. The Item Reduction Activity is responsible for assigning ISCs in this category. ISC 6 applies. The FSCs or item name codes previously recorded as ISC 6 should be reviewed periodically for standardization potential.

AP8.2.1.4. Assignment of ISC 5 or 0. The DLIS shall mechanically assign codes 5 or 0, as applicable, for new NSN requests and to maintain file integrity.

AP8.2.2. ISCs, Definitions, and Applications. The Item Reduction Activity shall assign ISCs to items in accordance with the definitions and usage prescribed in this Appendix. The coding structure provides for the categorization of items as either "authorized for acquisition" or "not authorized for acquisition." In these two broad categories, the specific codes are intended to indicate key management information about the decision process used in assigning the ISC, the basis for assignment of the code, or a condition requiring further management attention.

AP8.2.2.1. Items Authorized for Acquisition.

AP8.2.2.1.1. "0". An item under the specification control of the Defense Threat Reduction Agency (DTRA) or the National Security Agency (NSA).

AP8.2.2.1.2. "1". An item authorized for acquisition initially identified as the result of a formal item reduction study and that was accepted as a replacement for one or more items not authorized for acquisition (ISC 3). Additionally, ISC is applied to generic NSNs. Generic relationships exist between the NSNs procured under defense or Federal specifications, NGSSs, or CIDs, but the physical generic item is stocked, stored, and issued under NSNs that are assigned ISC 2 for supply management purposes. The NSN for the defense or Federal specifications, NGSSs, or CIDs shall be coded ISC 1, and the acquisition advice code must be "W."

AP8.2.2.1.3. "2". An item authorized for acquisition that has been included in an item reduction study for which no replacement item has been identified. Additionally, for generic relationships, an ISC 2 shall be replaced by an ISC 1 item.

AP8.2.2.1.4. "5". An item authorized for acquisition that has not been subjected to item standardization.

AP8.2.2.1.5. "6". An item authorized for acquisition that is in a specific FSC or approved item name code consisting primarily of items that are "one-of-a-kind," and therefore, little or no potential exists for elimination of items through item reduction studies.

AP8.2.2.1.6. "B". An item authorized for acquisition that is in a new or revised superseding specification or standard that is a replacement for one or more items not authorized for acquisition (ISC E) and may replace other ISC 3 items.

AP8.2.2.1.7. "C". An item authorized for acquisition that has been included in an item reduction study, but a technical decision could not be made due to lack of sufficient data.

AP8.2.2.2. Items Not Authorized for Acquisition

AP8.2.2.2.1. "3". An item, which as a result of an item reduction study, is accepted as not authorized for acquisition and must have a replacement (ISC 1 or B).

AP8.2.2.2.2. "E". An item identified in the specification or standard that is no longer authorized for acquisition that has been replaced by an item in a new or revised superseding specification or standard. The replacement item (ISC B) shall be a NSN.

AP8.3. ITEM REDUCTION STUDIES

AP8.3.1. Responsibility for Item Reduction. The SD-1 (reference (f)) identifies those activities responsible for conducting item reduction studies. The DLIS shall accept standardization data only from the responsible Item Reduction Activity listed in reference (f). If

there is no Item Reduction Activity for an individual FSC, the DLIS shall reject all standardization data in that FSC.

AP8.3.2. Required Item Reduction Studies. Item reduction studies are applicable where there are a great number of generally similar items that lend themselves to grouping and examination by item names, item name modifiers, or other characteristics such as sizes, grades, lengths, and materials. Item reduction is principally a "sorting out" of items of supply to separate items currently in the supply system that are to be retained for stock from the items not to be acquired for continued supply. Technical or engineering elements shall furnish the interchangeability and substitutability criteria that are essential in applying ISCs to items being considered in an item reduction study.

AP8.3.3. Limitation on Performing Item Reduction Studies. The Item Reduction Activity shall determine whether sufficient item reduction potential appears to exist for a specific item name or grouping before conducting a full-scale study. The Item Reduction Activity shall conduct an item reduction study only when the expected benefits outweigh the costs of conducting the study.

AP8.3.4. Planning and Programming Item Reduction Studies. Plan and program item reduction studies, in accordance with the following:

AP8.3.4.1. LSA Responsibility. The LSA shall ensure that item reduction studies are scheduled.

AP8.3.4.2. Scheduling Item Reduction Studies. The Item Reduction Activity shall schedule an item reduction study by requesting standardization project assignment from the LSA and submitting a completed DD Form 1585 to the LSA.

AP8.3.5. Item Reduction Procedures. The item reduction study procedure is applicable to all items in a FSC or a specific category. The Item Reduction Activity may modify this procedure to make maximum use of mechanized procedures and to accommodate the type of items under consideration.

AP8.3.5.1. Collecting Required Data. The Item Reduction Activity must have sufficient data on all items to support the decision of the proposed ISC assigned to the item. The Item Reduction Activity shall avoid requesting information that is already available or that can be furnished from a central source. The Item Reduction Activity may obtain TIR data from the DLIS through the tailored or mass search and interrogation process. (See DoD 4130.2-M and DoD 4100.39-M (references (ff) and (gg)).

AP8.3.5.2. Types of Data Required. The data used in an item reduction study must encompass sufficient information for users to determine relationships. The following is a list of data typically required (but not limited) to conduct an item reduction study:

AP8.3.5.2.1. Technical drawings, standardization documents, purchase descriptions, comprehensive telephone conversation records, and other technical data.

AP8.3.5.2.2. Special application data (submitted in justification of variations).

AP8.3.5.2.3. Industry data (such as catalogs and cross-reference list.)

AP8.3.5.2.4. Interchangeability and substitutability data.

AP8.3.5.2.5. Cost and other nontechnical data that may be essential in determining the ISC.

AP8.3.5.2.6. FLIS TIR data.

AP8.3.5.3. Applicable NSNs. Normally, only items currently in the supply system with recorded U.S. users in the FLIS TIR will be included in the item reduction study. However, other items (excluding NATO only items) may be included, stock listed and nonstock listed, at the item reduction activity's discretion.

AP8.3.5.4. Grouping Items for Evaluation. The data for the items may be grouped by item name or noun and modifiers, user information, specification data (grouped by type, grade, class, and size for each specification), and other factors that may be applicable such as physical and functional characteristics, criticality in end use, and special applications. Proper sequencing will help in the comparison of items, in the determination of those items that are no longer needed, and the following:

AP8.3.5.4.1. Potential duplicates, physically and functionally interchangeable, but bearing different NSNs. Exact catalog duplicates shall be processed in catalog channels for cancellations and not included in the item reduction study proposals.

AP8.3.5.4.2. Those items determined as obsolete shall be processed in cataloging channels for appropriate cancellation and not included in the proposed item reduction study.

AP8.3.5.4.3. Item identification is incomplete or inadequate (further data required).

AP8.3.5.4.4. Item identifications that are duplicates, except for method of dimensioning (for example, inches versus millimeters).

AP8.3.5.4.5. Insufficient specification and standard coverage.

AP8.3.5.4.6. Commercial nature of the items.

AP8.3.5.4.7. The need for engineering practice study of some item name groups.

AP8.3.5.4.8. The need for obtaining NSNs for some items that are entering the supply system or represent modifications of existing item identifications.

AP8.3.5.4.9. Interchangeability and substitutability relationships. These relationships shall be between items of the same and different item standardization codes and shall be recorded for further use where applicable.

AP8.3.5.4.10. Government part numbers in reference to defense specifications or standards may be used by the Item Reduction Activity in the selection, coordination, and processing of proposed item reduction studies. NSNs shall be assigned after full coordination of the item reduction study proposal.

AP8.3.5.5. Extraction of Data From Federal Item Identification (FII). For the purpose of preparing the initial grouping of items in the study, the Item Reduction Activity may extract data from the FII from the TIR, as deemed appropriate. The Item Reduction Activity may vary the sequence of data from the sequence given in the FII, if it does not alter the concept of the item of supply, as expressed by the FII. Where required, both applicable FIIG and FIIs may be recommended for suitable modification.

AP8.3.5.6. Evaluation Criteria. The evaluation of the items requires the selection of technical criteria essential for determining the ISC for the items in each group or category. Cost and other nontechnical criteria may be essential in determining the ISC for the items in each group or category. The technical criteria shall be based on available specifications, standards, and other applicable source documents. The technical criteria should be the minimum required to differentiate between the items with respect to physical and functional interchangeability, end-use application, and design. Consider life-cycle and end-item costs as part of the evaluation criteria, as well as the interchangeability and substitutability of the item. The coordination procedure shall provide additional technical input that may be required to meet all needs.

AP8.3.5.7. Determining the ISC. The Item Reduction Activity shall compare the items of the basic groupings against the technical criteria, and then designate an appropriate ISC for each item under consideration. Replacement items (ISC 1 or B) shall be shown with all associated items designated as not authorized for acquisition (ISC 3 or E). There shall be one replacement item (ISC 1 or B) established for each replaced item (ISC 3 or E). However, a single item can replace more than one item.

AP8.3.5.8. Multiple Replacement Standardization Relationships. The establishment of multiple replacement standardization relationships is prohibited. Multiple replacement relationships are defined as two or more items being assigned ISC 1 or B and replacing an existing item not authorized for acquisition (ISC 3 or E).

AP8.3.5.9. Generic Standardization Relationships. Generic standardization relationships are established to provide supply management control of interchangeable items. The use of these relationships is restricted to reparable items acquired under standardization documents listed in the ASSIST database. Separate NSNs are used to identify the reparable items due to their internal configuration differences. The configuration differences require different repair parts to be available at military repair facilities. Separate NSNs also provide the necessary control to enable contractor repaired items to be returned to the appropriate contractor. The generic master NSN consolidates requirements and is for acquisition purposes only. Assets are stored under the

"stock as" NSNs assigned to each interchangeable item. The generic master NSN must be identified with an Acquisition Advice Code W and is an ISC 1. The interchangeable items of supply that are related to the generic master NSN are linked with a phrase code S (stock as), have recorded assets and are the NSNs used for requisitioning. (The "stock as" NSNs are ISC 2, fully interchangeable, interlinked with phrase code J, and indicate the generic master NSN with a phrase code 3.) The ISC 2 items may also replace other ISC 3 items of older configuration or having less capabilities that are no longer procured.

AP8.3.6. Format and Content of Proposed Item Reduction Study Listings

AP8.3.6.1. Cover Sheet. The cover sheet (see figure AP8-F2.) shall identify the following:

AP8.3.6.1.1. Project number.

AP8.3.6.1.2. FSC.

AP8.3.6.1.3. Project title.

AP8.3.6.1.4. Item names in the study.

AP8.3.6.1.5. Item Reduction Activity.

AP8.3.6.1.6. Custodians (for items used by civilian agencies, the Custodian is the GSA).

AP8.3.6.2. Criteria and Guidelines Development Sheet. The Criteria and Guidelines Development Sheet (see figure AP8-F3.) shall describe the data used to establish the technical criteria in evaluation of the items.

AP8.3.6.3. Proposed Item Reduction Study List Index. The item listing shall include a cross-reference of proposed ISC 3 NSNs. The cross-reference shall be from National Item Identification Number (NIIN) sequence to index numbers. See figure AP8-F4.

AP8.3.6.4. Item Reduction Study Listings. The format and content of the item reduction study listings (see figure AP8-F5.) shall be as follows:

AP8.3.6.4.1. It shall contain only proposed ISC 3 items and their replacement Code 1 or B items.

AP8.3.6.4.2. As a minimum, it shall contain, in tabular form, the following information in the order stated:

AP8.3.6.4.2.1. Index number.

AP8.3.6.4.2.2. Item name(s) and modifiers.



AP8.3.6.4.2.3. NIIN.

AP8.3.6.4.2.4. CAGE.

AP8.3.6.4.2.5. Reference.

AP8.3.6.4.2.6. Proposed ISC.

AP8.3.6.4.2.7. Users code (the PICA or the Secondary Inventory Control Activity) identified by interpretation of Major Organizational Entity (MOE) rules in the FLIS TIR (see Volume 13, Chapter 6, DoD 4100.39-M (reference (gg))).

AP8.3.6.4.2.8. Remarks. This will include the notes established in the Criteria and Guidelines Development Sheet.

AP8.3.6.4.3. Sequencing the listing shall be in a manner most advantageous for the commodity covered. However, a proposed ISC 1 or B item that replaces ISC 3 items shall immediately precede the replaced items.

AP8.3.6.4.4. Items proposed for ISC 3 shall have the same index number as the replacement number, suffixed by an alphabetical symbol (A, B, C, D, etc.).

AP8.3.6.4.5. A cross-reference shall be provided as an integral part of the listing. The cross-reference shall be from NIIN sequence to index numbers.

AP8.3.7. Coordination of Item Reduction Study Listings.

AP8.3.7.1. Coordination Process. The Item Reduction Activity shall coordinate large studies of item name groupings or single-item studies in support of supply management using these procedures. When the number of items to be reviewed exceeds 200 items, the Item Reduction Activity may prepare listings tailored to each using Military Department and Agency. No study shall contain more than 2,000 ISC 3 items. If the number of items is less than 200 items, the Item Reduction Activity shall provide the complete listing for each using Military Department and Agency. The Item Reduction Activity shall give the Custodians a complete listing regardless of the size of the study. Besides the listing, the Item Reduction Activity shall give each using activity the following (the GSA is hereafter considered a Custodian):

AP8.3.7.1.1. All available source data and drawings for replacement or replaced items.

AP8.3.7.1.2. Copies of written technical criteria used for determining the ISCs.

AP8.3.7.1.3. Available cost and other nontechnical data that may impact the concurrence or nonconcurrence of the ISC.

AP8.3.7.1.4. Recommendations for further standardization or documentation.

AP8.3.7.2. Coordination Schedules. The Item Reduction Activity shall state in the letter forwarding the item reduction proposals, the time allowed for the initial response to the studies based on the following:

AP8.3.7.2.1. For proposals containing 200 or less ISC 3 items - 90 calendar days.

AP8.3.7.2.2. For proposals containing 201 to 500 ISC 3 items - 120 calendar days.

AP8.3.7.2.3. For proposals containing 501 to 1000 ISC 3 items - 150 calendar days.

AP8.3.7.2.4. For proposals containing more than 1000 ISC 3 items - 210 calendar days.

AP8.3.7.2.5. Using activities requesting extensions shall submit requests and justifications directly to the Custodian. Custodians shall request extensions from the Item Reduction Activity.

AP8.3.7.3. Study Distribution. The Item Reduction Activity shall send one copy of the proposed study to all registered DoD users in the FLIS TIR. The GSA shall distribute the proposed study to civilian users. The Item Reduction Activity shall send to the GSA one copy for internal coordination and one copy for each civilian user.

AP8.3.7.4. Using Activity Responsibility. The using activities shall conduct a review of their items with respect to the ISC recommended by the Item Reduction Activity. The using activities must exhaust all available sources before requesting data from the Item Reduction Activity. When requesting data, the using activity must identify the data request by the index number of the items in the item reduction study. Data shall not be required on standardization documents listed in the ASSIST database or listed in the FLIS TIR. Where the Item Reduction Activity's recommendation is not acceptable, the using activity shall send its nonconcurrency (on an item-by-item basis) supported by justification to the Item Reduction Activity through the Custodian. These justifications shall be related to specific elements of the interchangeability and substitutability criteria used in the performance of the study (e.g., source data, cost, or other nontechnical data related to the NSN of the proposal).

AP8.3.7.5. Custodian Activity Responsibility. On receipt of a proposed item reduction study listing from the Item Reduction Activity, the Custodian shall review the distribution to using activities and if additional distribution is required, so inform the Item Reduction Activity. On receipt of all of the using activities' comments on the proposed item reduction study, the Custodian shall review the comments and resolve the intra-Departmental or Agency position. Custodians shall submit supporting statements and recommendations to the Item Reduction Activity. As a general rule, the Custodian should not submit partial replies to the Item Reduction Activity. However, to expedite the recording of acceptable standardization decisions into the FLIS, partial replies may be submitted with the understanding that the Custodian has furnished a final Departmental or Agency position on each of the items included in the partial reply.

Custodians must send a complete reply in the time stated in paragraph AP8.3.7.2., above, unless the Item Reduction Activity grants an extension.

AP8.3.7.6. Delinquent Replies. If all replies are not received by the original or revised coordination date, the Item Reduction Activity should contact the Custodian to find out the reason for the delay and request an immediate response. If the Item Reduction Activity does not get a response, and does not believe one is forthcoming, the Item Reduction Activity shall send the documented case to the DepSO of the delinquent Custodian for resolution. The DepSO shall take whatever action is necessary with its counterparts to ensure that replies are furnished without delay.

AP8.3.8. Expedited Item Reduction Study Listings. Expedited item reduction study listings are those studies that contain a limited number of items. The Item Reduction Activity shall issue these studies only to obtain coordination with the Military Departments, Agencies, and the GSA when logistics support to customers is jeopardized for those items established as critical in certain applications or to prevent a no-stock condition. These items should be given priority processing by the users. The following criteria applies:

AP8.3.8.1. No study shall contain more than 20 families with no more than 50 total items.

AP8.3.8.2. Coordination time shall be 50 calendar days from the date of letter.

AP8.3.8.3. All items (ISCs 1 and 3) shall have all technical data available.

AP8.3.8.4. When nonconcurrence is determined, the using activities shall exhaust all avenues to provide alternative sources of supply before transmittal of the nonconcurrence to the Item Reduction Activity.

AP8.3.9. Responding to Nonconcurrences. If the Item Reduction Activity accepts all nonconcurrences, then a response is not necessary. If the nonconcurrences are few, the Item Reduction Activity may use the telephone or electronic transmittal to advise Custodians or using activities how their nonconcurrences were handled. For lengthy or complex nonconcurrences, the Item Reduction Activity shall respond with a letter or electronic transmittal, or hold a resolution meeting.

AP8.3.10. Resolving Nonconcurrences. The Item Reduction Activity shall resolve nonconcurrences in one of three ways:

AP8.3.10.1. The Item Reduction Activity may accept the nonconcurrence.

AP8.3.10.2. The Item Reduction Activity may reject the nonconcurrence with justification, allowing the submitter at least 30 working days to rebut the rejection. If no reply is received in 30 working days, Item Reduction Activity shall contact the Custodian. Items shall not be standardized by default.

AP8.3.10.3. If the Item Reduction Activity is unable to resolve the nonconcurrency in a timely manner, it may ask the cognizant LSA to mediate. If the LSA cannot resolve the issue, the LSA shall submit the unresolved nonconcurrences to the Item Reduction Activity's DepSO for resolution and possible submission to the DSPO for arbitration.

AP8.3.11. Summary of Item Reduction. The purpose of a summary of item reduction is to document the result of item reduction studies (completed item reduction listing (CIRL)). The general organization of information for the summary is as follows:

AP8.3.11.1. Summary Cover Sheet. The summary cover sheet (see figure AP8-F6.) shall identify:

AP8.3.11.1.1. Project number.

AP8.3.11.1.2. FSC.

AP8.3.11.1.3. Project title.

AP8.3.11.1.4. Item name(s) in study.

AP8.3.11.1.5. Item Reduction Activity.

AP8.3.11.1.6. LSA.

AP8.3.11.1.7. Custodians.

AP8.3.11.2. Executive Summary. Briefly describe the cover sheet (for example, date of project initiation, project scope, working group membership, and meeting date, if applicable). See figure AP8-F7.

AP8.3.11.2.1. Reference. Briefly describe the cover sheet and provide date.

AP8.3.11.2.2. Project Scope. Briefly describe the intent of the item reduction effort, and what items were studied.

AP8.3.11.2.3. Coordination of Study. Include a statement indicating degree of coordination accomplished with the other military and civilian agencies and a statement concerning the resolution of all essential comments or other statements, such as a list of nonconcurrences.

AP8.3.11.2.4. Class Condition Observation. Include a general statement of the condition of the FSC or name grouping (from a supply viewpoint). This statement shall include an evaluation of the item reduction potential or level reached, extent of documentation of items covered by specifications and standards, and recommendations for collecting data for items coded ISC C with a cost effectiveness appraisal.

AP8.3.11.2.5. Findings and Recommendations. Include under this heading:

AP8.3.11.2.5.1. The total number of items reviewed in the study.

AP8.3.11.2.5.2. The number of items designated as "ISC 1."

AP8.3.11.2.5.3. The number of items designated as "ISC 2."

AP8.3.11.2.5.4. The number of items designated as "ISC C."

AP8.3.11.2.5.5. The number of items designated as "ISC 3."

AP8.3.11.2.5.6. Number of duplicate items canceled.

AP8.3.11.2.5.7. Number of cataloging part number additions and corrections submitted.

AP8.3.11.2.5.8. Number of changes to item identification submitted.

AP8.3.11.2.5.9. Number of cataloging descriptive corrections submitted.

AP8.3.11.2.5.10. Include benefits resulting from the study, such as the number of: cancel use actions, cancel duplicate actions, cancel invalid actions, reference type IIs converted to full descriptive type IIs, corrections made to type IIs, and transfers made as a result of misclassifications, and, when possible, tangible dollar savings achieved.

AP8.3.11.2.5.11. After coordination with the LSA and obtaining project numbers, recommendations for further standardization projects shall include identification of the study and document projects, the preparing activity, the proposed scope, schedule, and the assigned project number.

AP8.3.11.2.6. Accomplishments. Identify those intangible benefits that enhance the Federal supply system.

AP8.3.12. Summary of Expedited Item Reduction Studies. Use the summary of item reduction format and content discussed in subsection AP8.3.11., above, to document the results of the expedited item reduction study. In 45 days of the completed study, the Item Reduction Activity shall send the summary to the Custodians, the LSA, and using activities.

AP8.3.13. Completion of an Item Reduction Study. On completion of the summary of item reduction, the Item Reduction Activity shall:

AP8.3.13.1. Approve the item reduction project and submit a DD Form 1585, as specified in the SD-4 (reference (m)).

AP8.3.13.2. Prepare a listing of all of the items that were included in the item reduction study that required a change in the ISC.

AP8.3.13.3. Follow the procedures of section AP8.6., below, to document and disseminate the standardization decisions.

AP8.3.13.4. Submit a copy of the summary of item reduction and a copy of the listing to the LSA, Custodians, and using activities.

AP8.3.13.5. Provide the PICA a copy of the summary of item reduction study for coordination and followup of DoD interchangeability and substitutability, in accordance with AFMCI 20-101, AMC-R 700-30, NAVSUP 4410.57, MCO 4410.24A, and DLAR 4140.66 (reference (hh)).

AP8.3.14. Project Record. The Item Reduction Activity shall maintain a record of the project that shall include, as a minimum, the summary of item reduction and the listing of all of the items that were included in the study that required a change in the ISC.

#### AP8.4. OTHER ITEM STANDARDIZATION ACTIONS

AP8.4.1. General. The procedures in this section apply to all the FSCs listed in Volume 10, Chapter 4, Table 93 of DoD 4100.39-M (reference (gg)), and all of FSG 59, except 5940, 5970, 5975, 5977, and 5995. This section describes the assignment of the ISCs during, or because of, the following actions:

AP8.4.1.1. New items processed through the DLIS for NSN assignment.

AP8.4.1.2. New or revised superseding specifications, standards, or CIDs where the item listed in the new or revised specification, standard, or CID supersedes an existing item. (An item listed in a new or revised superseding specification, standard, or CID may be assigned a NSN.)

AP8.4.1.3. Those items that are in a specific FSC or item name grouping in that class that are identified as one-of-a-kind, and as a result, no item reduction potential exists.

AP8.4.2. New Items Processed through the FLIS. New item requests are submitted to the FLIS in compliance with the Cataloging Item Entry Control policy stated in DoD 4130.2-M and the procedures contained in DoD 4100.39-M (references (ff) and (gg)). New NSNs will be assigned to ISC 5. ISC 0 shall be assigned to NSA or DTRA items.

AP8.4.3. Superseding Specifications and Standards. When a new or revised superseding specification or standard is approved and a cross-reference supersession data between the new items and replaced items is clearly stated, the new items and replaced items shall have ISCs assigned (ISC B and E apply). However, the Item Reduction Activity must include in an item reduction study, and coordinate with the using activities, those superseded specification or standard items that fall in the following categories that have additional requirements over and above the specification or standard requirements or are source controlled. When a specification

or standard is superseded, the Preparing Activity of the superseding document will notify the Item Reduction Activity if item replacement actions are required. When this type of item replacement occurs, a NSN cannot be assigned to a new item until a procurement requirement for the item is generated. During these replacement actions, ISC E shall be assigned to any items that are replaced by items covered by the superseding document, and ISC B shall be assigned to the replacement items, regardless of registered users.

AP8.4.4. Federal Catalog System. Items of supply in the Federal supply system that are bought, stocked, or distributed shall be named, identified, classified, and numbered for inclusion in the Federal catalog system. There are specification items and materials that do not conform to the regular stock-numbering criteria, but are involved in daily supply operations. Some of these items have been subjected to standardization review and have no supply system requirement established, but are authorized for acquisition. The standardization review identifies a standard item as the preferred item.

AP8.4.5. No Item Reduction Potential. An item reduction study shall analyze each FSC or approved item name code and make a cost effectiveness determination before planning and scheduling an item reduction study project. The Item Reduction Activity shall analyze each FSC or approved item name code before planning and programming an item reduction study project and make a cost effectiveness determination. The Item Reduction Activities shall maintain a record of the analysis for each FSC or approved item name code that is declared to have no item reduction potential and a listing of all the items coded ISC 6. Item listings need not be maintained if the required data is accessible in machine format. The procedures of section AP8.5., below, shall be followed to implement these standardization decisions. ISC 6 shall be used only for a FSC or an entire approved item name code. It shall not be used on an individual item basis, unless the item is a new item that belongs in an approved item name code that has already been declared to have no item reduction potential. The use of ISC 6 should be closely scrutinized. Assignment of ISC 6 to an FSC or an approved item name code shall not preclude future item reduction studies on these items.

#### AP8.5. INITIAL ACTIONS FOR RECORDING AND DISSEMINATING STANDARDIZATION DECISIONS

AP8.5.1. Action by Item Reduction Activity. The Item Reduction Activity shall:

AP8.5.1.1. Forward without delay to the FLIS the following information:

AP8.5.1.1.1. Standardization data submitted through the established transmission systems authorized by the FLIS.

AP8.5.1.1.2. When the NSA (activity code XP/XN) is the managing activity, CAGE code 98230 must be registered as part of the design control reference for the assignment of ISC "0" by the FLIS.

AP8.5.1.1.3. When the DTRA (activity code XA/XB) is the managing activity, CAGE code 57991, 67991, 77991, or 87991 must be registered as a part of the applicable design

control reference number. When the above data is not properly shown for the item, the Item Reduction Activity shall contact the DTRA for correction of the records. This procedure does not modify the basic requirement for the use of ISC 0 by the DTRA.

AP8.5.1.2. Submit data to the DLIS by electronic transmission or by letter of transmittal with the subject "Documentation of Standardization Decisions." The transmittal letter will indicate the total number of NSNs in each ISC submitted for processing. A separate letter of transmittal shall be prepared for each shipment of transmitted data to the DLIS.

AP8.5.2. Action by Activity Determining "No Potential." Submit standardization data for items assigned ISC 6 to the FLIS, as outlined in Subsection AP8.5.1., above.

AP8.5.3. Action by Activity Implementing Item Replacement Due to Superseding Specifications or Standards. Submit standardization data for items assigned ISC B or E to the DLIS as outlined in Subsection AP8.5.1., above.

AP8.5.4. Action by the DLIS. The DLIS shall:

AP8.5.4.1. Receive standardization data from the submitting activity.

AP8.5.4.2. Process the standardization data received and enter into the TIR the ISC, originator of decision, and date of decision assigned to the items by the submitting activity, in accordance with DoD 4100.39-M (reference (gg)).

AP8.5.4.3. Forward information to authorized recipients of standardization data (see Chapter 5 of reference (gg).) Also forwards logistics item data to the appropriate LSA or Item Reduction Activity, as requested. For each item not authorized for acquisition, the standardization relationship data record shall reflect the replacement NSN.

AP8.5.4.4. Establish a cross-reference between items not authorized for acquisition, the replacement item, and the reverse relationships.

AP8.5.4.5. Assign ISC 5 or 0 as applicable to all new NSN requests, except those coded under procedures in subsection AP8.4.3., above.

#### AP8.6. IMPLEMENTATION OF STANDARDIZATION DECISIONS BY THE ICP AND CATALOGING COMPONENT

AP8.6.1. Action by the ICP. Initial distribution of revised standardization data shall be furnished from the DLIS, in accordance with DoD 4100.39-M (reference (gg)). Upon receipt of the revised standardization relationship data containing the ISCs assigned to the items, the ICP shall take appropriate action in accordance with the following:

AP8.6.1.1. Records the ISC of the item in all supply records, including catalog records, as applicable.



AP8.6.1.2. Advises cataloging component of each change in the supply management status of the item (other than standardization codes) so appropriate action may be submitted to the FLIS.

AP8.6.1.3. Forwards to the appropriate Item Reduction Activity, Custodian, or integrated manager, appeals to standardization decisions with justification, or other requests for changes in ISCs. Copies shall be furnished to the LSA or Item Reduction Activity, as requested.

AP8.6.2. Action by the ICP Cataloging Component. The ICP cataloging component shall:

AP8.6.2.1. Prepare and submit progressively to the FLIS, in accordance with normal cataloging procedures, appropriate data furnished by the managing activity under subsection AP8.6.1., above.

AP8.6.2.1.1 When the stock of an item not authorized for acquisition is exhausted, a delete user action, in accordance with normal cataloging procedures, shall be submitted for the item not authorized for acquisition (see reference (gg)).

AP8.6.2.1.2 When the standardization decision involves the adoption of a NSN replacement item, new to the managing activity's supply system, an add-user transaction should be submitted for the new item to the FLIS, in accordance with reference (gg).

AP8.6.2.1.3 For items under integrated management, the submissions covered by subparagraphs AP8.6.2.1.1. and AP8.6.2.1.2., above, shall be processed by the integrated manager. However, all item deletions must be concurred in by the using activities before initiation of withdrawal actions by the integrated managers. Such action may be based on acceptance of item reduction proposals or specification supersessions.

AP8.6.2.1.4 When the consolidation or exhaustion of stocks for the obsoleted item is affected, a delete user action in accordance with normal cataloging procedures shall be submitted for the obsoleted item.

AP8.6.2.2. Prepare and submit progressively to the FLIS, in accordance with the normal DLIS and cataloging procedures, add-user transactions reflecting acquisition or reacquisition of items previously subjected to an item reduction study.

#### AP8.7. ITEM REDUCTION MAINTENANCE ACTION

AP8.7.1. Action by the Item Reduction Activity (or Integrated Manager, as Applicable). The Item Reduction Activity is responsible for the following actions:

AP8.7.1.1. Standardization studies involving items in interchangeable and substitutable families shall consider, as a minimum, all the items in those families.

AP8.7.1.2. Standardization decisions can supersede interchangeable and substitutable data assignments of items in family structures. However, interchangeable and substitutable data assignments shall not contradict standardization coding assignments.

AP8.7.1.3. The managing Military Department or the Defense Agency shall be responsible for restructuring interchangeable and substitutable families to reflect standardization decisions.

AP8.7.1.4. Managing activities shall collaborate with the using Military Department or Defense Agency on all new or revised interchangeable and substitutable family structures before the entry of the interchangeable and substitutable families in the FLIS TIR, except those relationships coordinated through the item reduction study process.

AP8.7.1.5. Reviews all justifications for acquisition and reacquisition of items designated as not authorized for acquisition and advises the submitting activity whether or not the ISC of the item is changed. When appropriate, notifies the DLIS of change, in accordance with procedures in DoD 4100.39-M (reference (gg)).

AP8.7.1.6. Reviews and forwards appeals or other requests for changes in standardization coding, with recommendations, to the appropriate Custodian for resolution. These changes shall only affect the relationship under consideration by the appeal. Mass ISC changes shall not be made unless it is determined that the criteria selection was in error.

AP8.7.1.7. Reviews at intervals deemed necessary those items not subjected to item standardization since the last review and proposes and coordinates, as appropriate, the ISC for groups of such items.

AP8.7.1.8. Forwards, when authorized by the DLIS, standardization data submitted through the established transmission process.

AP8.7.2. Action by the DLIS. The DLIS shall:

AP8.7.2.1. Receive standardization data through the transmission process, established with submitting activity, and takes necessary action, in accordance with subsection AP8.5.4., above, to enter the official ISC for new items and items that have changed status in the FLIS records.

AP8.7.2.2. Forward to authorized data recipients the standardization data containing the current official ISC.

AP8.7.2.3. Receive and process catalog data for proposed add-MOE Rule or user transactions. When the add-MOE Rule transaction is submitted for an item not authorized for procurement (ISC 3 or E), process the add-MOE Rule or user transaction and record the activity as a user of the item identification. The authorized data recipients shall be furnished file data for the item not authorized for acquisition from the FLIS. The originator shall be furnished file data for the replacement NSN, if there is an existing relationship recorded in the TIR.

AP8.7.2.4. Process FSC changes by forwarding to the receiving activities notification of the FSC changes and file data for the item under the new FSC in accordance with existing cataloging procedures. If the FSC change is processed against an item that is recorded in a standardization relationship, the responsible Military Department or the Defense Agency shall take the necessary action, as prescribed in DoD 4140.26-M (reference (ii)).

AP8.7.2.5. Forward on request to the appropriate standardization management activities who are not on normal distribution, a listing of new items not previously subjected to item standardization.

#### AP8.8. INVENTORY CONTROL ACTIONS ON ITEM STANDARDIZATION DECISIONS

The following actions will be taken on all line items subject to the procedures in sections AP8.5 and AP8.6., above.

AP8.8.1. Ensure that the manager of the NSN coded ISC 1 or B in a standardization relationship shall also be the manager of the member NSNs in the standardization relationship coded ISC 3 or E, on the standardization relationship being recorded in the FLIS.

AP8.8.2. Record standardization status on all supply records (including catalog records), as applicable.

AP8.8.3. Review supply records of items proposed for acquisition for conformance with ISC status.

AP8.8.4. Transmit, in accordance with Catalog Management Data Notification procedures, the appropriate phrase code, order of use, and acquisition advice code, which defines the item relationships and supply actions that are applicable following the assignment of ISCs 1 (or B) and 3 (or E) for a given set of items.

AP8.8.5. Establish procedures to encourage the use of items not authorized for acquisition until exhausted through the use of the order of use or manually offering of items.

AP8.8.6. Review "due-in" assets position and effect contract termination, as feasible, when total assets of items authorized for acquisition and items not authorized for acquisition on-hand and on-order exceed authorized levels.

AP8.8.7. Review "due-outs" and offer substitute items, as appropriate, to reduce stocks of items not authorized for acquisition.

AP8.8.8. Restrict purchase authority during the period that items not authorized for acquisition are being reduced by attrition and for items that are eliminated from the supply system to prevent acquisition of additional items when possible replacements are available.

AP8.8.9. Review for elimination from the system, terminal stocked items, ISC 3 or E, that have an on-hand wholesale asset position and a coordinated replacement, based on a cost-effectiveness consideration. The PICA should evaluate the item on the basis of value of assets on-hand in relation to the predicted time over which item attrition would take place. Generally, when the item for elimination has an extensive issue-to-exhaustion time period, coupled with a low dollar value of assets, the PICA shall coordinate with all the registered users a proposed delete action. Assets should be retained and issued when the demand forecast indicates that assets can be issued in a relatively short period of time regardless of the dollar value of assets.

AP8.8.10. Ensure that future acquisition for wholesale stockage is limited to items authorized for acquisition.

AP8.8.11. On an interim basis, items coded ISC 3 or E may be acquired for direct delivery to any requisitioning activity that has challenged the standardization coding. The requisitioning activity shall forward to the appropriate item manager, justification and conditions for ISC changes. The following information must be furnished:

AP8.8.11.1. Specific end-use and end-item application.

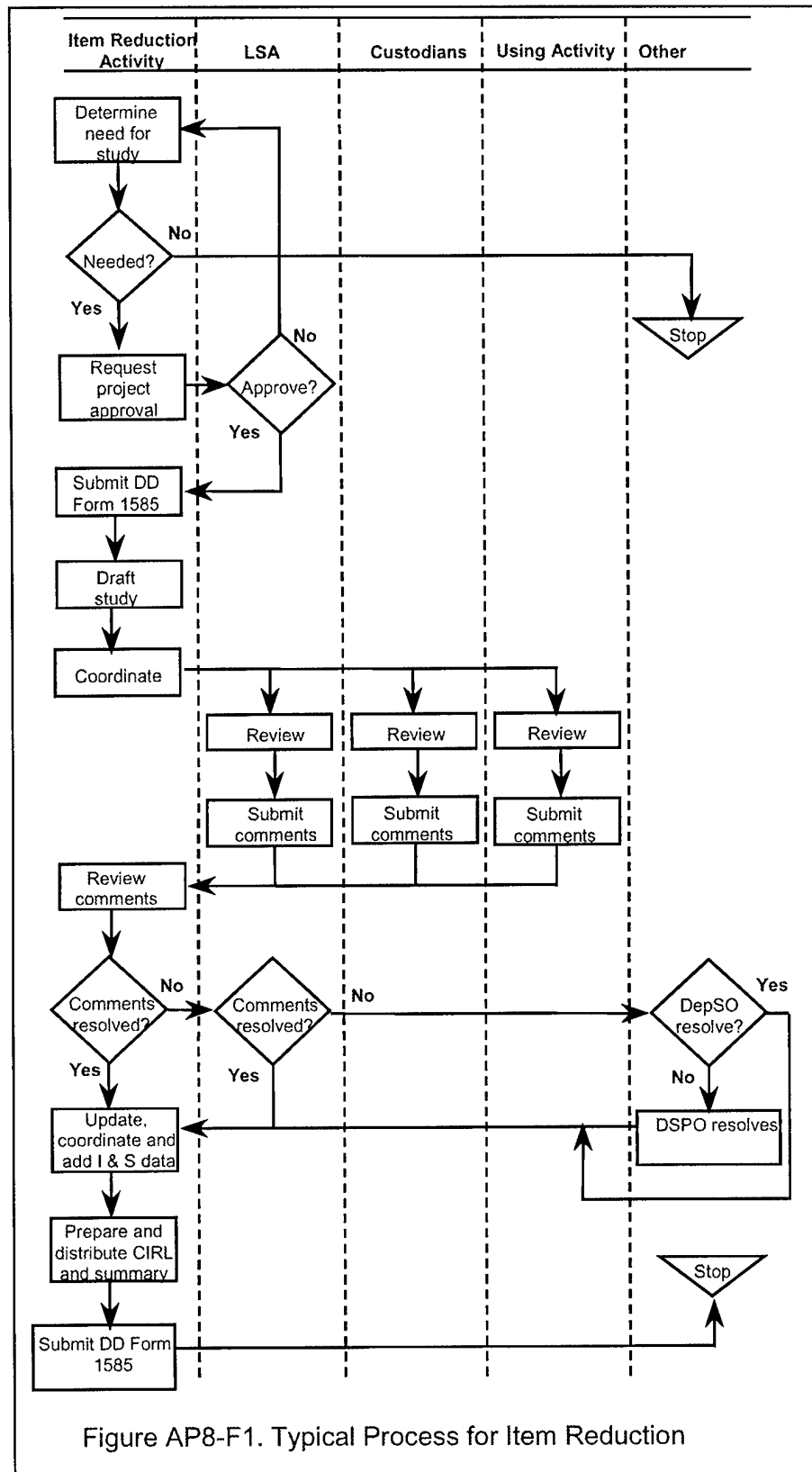
AP8.8.11.2. Technical explanation comparing the physical and functional characteristics of the Code 3 or E item with the item authorized for acquisition.

AP8.8.11.3. Duration of the requirement for the item or how long the end-item will be retained.

AP8.8.11.4. Economic considerations from a purely technical standpoint.

The item manager shall forward the justification to the item reduction activity responsible for the standardization decision for review and forwarding to the appropriate Custodian for resolution before rendering an appeal decision.

AP8.8.12. Where the GSA provides central management purchase support through its stores depots, through Federal Supply Schedules, or through mandatory consolidated purchasing programs, all activities shall adhere to the requirements of approved standardization decisions. Decentralization in the military shall not be a means whereby a DoD activity evades the use of an item authorized for acquisition furnished through GSA acquisition operations.



COVER SHEET FOR PROPOSED ITEM REDUCTION STUDY LISTING

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PROJECT NUMBER:

FEDERAL SUPPLY CLASS:

PROJECT TITLE:

ITEM NAME IN STUDY:

ITEM REDUCTION ACTIVITY:

CUSTODIANS:

Army -

Navy -

Air Force -

Civilian Agency -

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Figure AP8-F2. Sample Format for Cover Sheet for Proposed Item Reduction Study Listing

CRITERIA AND GUIDELINES DEVELOPMENT SHEET

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1. The following data was used to establish the technical criteria in evaluation of the items:

a.

b.

c.

d.

2. The recommendations contained in this study are based on the following guidelines:

a.

b.

3. Explanation of Notes:

Note 1:

Note 2:

Note 3:

Note 4:

Note 5:

Note 6:

---

Figure AP8-F3. Sample Format for Criteria and Guidelines Development Sheet

PROPOSED ITEM REDUCTION STUDY LIST INDEX

## Item Reduction Study Project Number

ASSIGNED NSN	INDEX	ASSIGNED NSN	INDEX
5910-00-081-9545	0001A	5910-00-226-1107	0005A
5910-00-090-6254	0003A	5910-00-228-1234	0006A
5910-00-160-6786	0001B	5910-01-004-7876	0007A
5910-00-204-6819	0002A	5910-01-152-8947	0004A

Figure AP8-F4. Sample Format for Proposed Item Reduction Study List Index



PROPOSED ITEM REDUCTION STUDY LISTING

INDEX NO.	ITEM NAME	NIIN 5910-	CAGE	REFERENCE	ISC	USERS CODE	REMARKS
1	CAPACITOR, FIXED, CERAMIC	00-854-9958	81349	MILC11015 TYPE	1	SG, HH	
1A	CAPACITOR, FIXED, CERAMIC	00-081-9545	95275	VK30CW472K	3	CL, SG	NOTES
1B	CAPACITOR, FIXED, CERAMIC	00-160-6786	64959	KS8151-5	3	CL	
2	CAPACITOR, FIXED, CERAMIC	00-574-2136	50625	F73450	1	CT	
2A	CAPACITOR, FIXED, CERAMIC	00-204-6819	97896	N500-1a	3	SE	NOTES
3	CAPACITOR, FIXED, PAPER	00-962-0154	70152	F7601	1	SX	
3A	CAPACITOR, FIXED, PAPER	00-090-6254	81348	N503C	3	KE	

\*Notes as applicable

Figure AP8-F5. Sample Format for Proposed Item Reduction Study Listing

SUMMARY COVER SHEET

---

PROJECT NUMBER:

FSC CLASS:

PROJECT TITLE:

ITEM NAME(S) IN STUDY:

ITEM REDUCTION ACTIVITY:

LEAD STANDARDIZATION ACTIVITY:

CUSTODIANS:                      Army -

                                 Navy -

                                 Air Force -

                                 Civilian Agency -

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Figure AP8-F6. Sample Format for Summary Cover Sheet

EXECUTIVE SUMMARY OF ITEM REDUCTION

FSC \_\_\_\_\_

- 
1. Reference:
  2. Project Scope:
  3. Coordination of Study (to include a list of nonconcurrences):
  4. Class Condition Observation:
  5. Findings and Recommendations:
    - a. Findings:
    - b. Recommendations:
      - (1) Cancel-Invalid Action:
      - (2) Transfer to Correct FSC
      - (3) Item Name Change on NSNs as Follows:
      - (4) Change Reference Data for the Following:
  6. Accomplishments:
- 

Figure AP8-F7. Sample Format for Executive Summary of Item Reduction

## AP9. APPENDIX 9

### ENGINEERING PRACTICE STUDIES

#### AP9.1. GENERAL

Engineering practice study projects are used to develop a planned approach to standardize on engineering disciplines and tools, such test methods; codes; engineering terms and terminology; dimensional and functional interchangeability such as tolerances and fits; and basic characteristics of equipment and materials. Engineering practice studies can also aid in the adoption of NGS.

#### AP9.2. ENGINEERING PRACTICE STUDY PROJECTS

The results of an engineering practice study project are documented in a report of findings including conclusions and recommendations. The report shall include recommendations to adopt existing industry practices, and where necessary, to initiate specific document projects. This report may also include drafts of specifications, standards and handbooks prepared to implement the report of findings. There is no specific format prescribed for engineering practice studies.

#### AP9.3. ENGINEERING PRACTICE STUDIES DEVELOPMENT PROCESS

The process for developing an engineering practice study is the same as for a defense standardization document, as discussed in Chapters 4 and 5 of the Manual, except as follows:

AP9.3.1. When requesting a project number, the Preparing Activity must demonstrate to the LSA that sufficient standardization opportunities exist to justify the resources spent on conducting the engineering practice study.

AP9.3.2. Since engineering practice studies try to standardize an engineering practice throughout the DoD, nearly all studies should be coordinated documents.

AP9.3.3. The Preparing Activity shall print and distribute copies of the approved study to the LSA, the Custodians, and any other DoD activities, civilian agencies, and industry associations and manufacturers that contributed to the study.

AP10. APPENDIX 10STANDARDIZATION PROJECT JUSTIFICATIONAP10.1. GENERAL.

The Preparing or Adopting Activity shall make the following determinations, as applicable, before requesting approval of a standardization project from the LSA. Based on the responses, the LSA shall approve or disapprove the request. Suggested guidance for LSA action (depending on the response) is provided in parenthesis after select questions. The LSA should tailor these determinations to suit the FSG, the FSC, or the Standardization Area, and should include any other determinations that may be unique to a FSG, a FSC, or a standardization area. The LSA shall keep a record of each standardization project justification determination.

AP10.1.1. Document Number

(If the standardization document is new, no number is needed. The LSA should remind the Preparing Activity not to assign a document number until the project is completed and approved.)

AP10.1.2. Document TitleAP10.1.3. Document FSG, FSC, or Standardization AreaAP10.1.4. Preparing Activity

(Only SMAs may be a Preparing Activity. Also, only the recorded Preparing Activity for a document may change a document, unless the Preparing Activity has authorized an agent or issuance of an interim document by another SMA.)

AP10.1.5. What is the Need for the Standardization Document?

(Standardization documents should only be developed or maintained if there is a benefit to the DoD. Subsection C4.2.1. of Chapter 4 provides some of the reasons why a standardization document should be developed.)

AP10.1.6. Could Another Existing Document be Used as is or with Minor Modification?

(The ASSIST database, the DoD Joint Technical Architecture, and the SD-4 (references (i) and (m)) should be checked as a minimum for possible documents that could be used. Document indexes from appropriate NGSBs should also be consulted. If an existing document could be modified, the Preparing Activity and the LSA should work together to determine the proper course of action. Some possibilities include: issuing an interim change to meet the immediate need; making the change in the contract; or if time permits, processing a formal change.)

AP10.1.7. Is the Project for a New Document; Revision; Amendment; Change Notice; Cancellation Notice; Adoption Notice; Reinstatement Notice; or Inactive for New Design Notice?

AP10.1.8. Will the Document be Coordinated, Limited Coordinated, or Interim?

(To ensure that standardization occurs across the Military Departments and the Defense Agencies, most standardization documents should be coordinated. A limited coordinated project should only be approved if it can be demonstrated that an item is unique to one Military Department or Defense Agency. If an urgent acquisition action is pending, the LSA may approve a project for an interim document to satisfy the immediate need, and issue a concurrent coordinated project number to address the long-term requirement.)

AP10.1.9. Custodians

AP10.1.10. Does the Document Cover a Product or Process that is Commercial, Modified Commercial, or Military unique?

(This is a key determination. Only projects to adopt NGSs or prepare CIDs should be approved for commercial products and processes. The LSA should exercise some flexibility. If the Preparing Activity is working with a NGSB to develop or revise a NGS but needs to update an existing Government document to support acquisition needs, the project request should be approved. For modified commercial projects, the Preparing Activity and the LSA should work together to address the short- and long-term solutions. Many NGSBs are willing to develop or revise NGS to accept some Government requirements. If the modifications are not too extensive, a CID is another possibility. If modifications are somewhat detailed, and a NGS or a CID is not a possibility, then a Federal specification or standard should be considered. If modifications are extensive or military-unique, then a defense specification or standard should be developed.)

AP10.1.11. Does Document Require the Use of Hazardous Materials or Environmentally Damaging Materials?

(If the answer to the question is yes, then the LSA should ask additional questions to identify the hazardous or environmentally damaging materials and any efforts to eliminate or minimize them.)

AP10.1.12. Does the Document Implement an ISA?

AP10.1.13. If Document is a Federal Specification or Standard, has the GSA (or the Department of Veterans Affairs for Documents in FSG 65 or the Department of Agriculture for Documents in FSG 89) Authorized Development or Change?

(A standardization project shall not be approved for a Federal specification or standard if appropriate civilian agency has not given approval.)

AP10.1.14. Project Schedule for Initiation and Completion

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